

**United States
Department of Energy's
Office of Environmental Management**



**Functions, Responsibilities,
and Authorities Manual**

Revision 2

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LIST OF ACRONYMS AND ABBREVIATIONS

ASEM	Assistant Secretary for Environmental Management
ATMS	Automated Transportation Management System
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
CIO	Department of Energy Chief Information Officer
COC	Certificates of Compliance
COO	Chief Operating Officer
CRD	Contractor Requirements Document
CSO	Cognizant Secretarial Officer
CSPP	Cyber Security Program Plan
D&D	Decontamination and Decommissioning
DAS	Deputy Assistant Secretary
DMD	Directive Management Document
DNFSB	Defense Nuclear Facilities Safety Board
DOD	Department of Defense
DOE	United States Department of Energy
DOT	United States Department of Transportation
DSO	Director, Site Offices (Site Leads)
DP	Office of Defense Programs
EA	Environmental Assessment
ECF	Employee Concerns Program
EH	Department of Energy Office of Environment Safety and Health
EIS	Environmental Impact Statement
EM	Department of Energy Office Environmental Management
EPA	Environmental Protection Agency
ER	Office of Energy Research
ERO	Emergency Response Organization
ES&H	Environment, Safety, and Health
EXs	Environmental Exclusions
FEM	Field Element Manager
FRA	Functions, Responsibilities, and Authorities
FRAM	Functions, Responsibilities, and Authorities Manual
GC	Department of Energy Office of General Council
HQ	Headquarters
LCAM	Life Cycle Asset Management
LPSO	Lead Program Secretary Officer
MCEP	Motor Carrier Evaluation Program
MOU	Memorandum of Understanding
NCO	NEPA Compliance Officer
NDM	NEPA Document Manager
NEPA	National Environmental Policy Act

NGS	Non-Government Standards
NGSB	Non-Government Standards Bodies
N&S	Necessary & Sufficient
NN	Office of Nonproliferation and National Security (Office of Deputy Administrator of Defense Nuclear Nonproliferation)
NOV	Notice of Violation
NPL	National Priorities List
NRC	Nuclear Regulatory Commission
OB	Office of Budget
ODs	All EM Office Directors
OID	Office of Integration and Disposition
OIPA	Office of Intergovernmental and Public Accountability
OMB	Office of Management and Budget
OMI	Office of Management and Information
OPA	Office of Planning and Analysis
OPB	Office of Planning and Budget
OPC	Office of Project Completion
OPI	Office of Primary Interest
OPM	Office of Project Management
ORR	Operational Readiness Review
ORM	Office of Resource Management
OT	Office of Transportation
OTPI	Office of Technical Program Integration
OSC	Office of Site Closure
OSHS	Office of Safety, Health and Security
OST	Office of Science and Technology
OSH	Occupational Safety and Health
OSHA	Occupational Safety and Health Administration
PL	Public Law
PM	Program Manager
PSO	Program Secretarial Officer
QAP	Quality Assurance Plan
RCRA	Resource Conservation and Recovery Act
SAR	Safety Analysis Report
SARP	Safety Analysis Report for Packaging
SMAC	Shipment Mobility/Accountability Collection
SME	Subject Matter Expert
S/RID	Standards/Requirements Identification Document
SSCs	Structures, Systems, Components
SWDA	Solid Waste Disposal Act
TRANSCOM	DOE Transportation Tracking and Communications System
TRU	Transuranic
TSCA	Toxic Substances Control Act
TSMC	Technical Standard Management Committee

TSP	Technical Standard Program
UMTRCA	Uranium Mill Tailings Radiation Control Act of 1978
USQ	Unreviewed Safety Question
WIPP	Waste Isolation Pilot Plant

EXECUTIVE SUMMARY

The Environmental Management (EM) Functions, Responsibilities, and Authorities Manual (EM FRAM) contains the functions, responsibilities, authorities, and field delegations necessary to achieve integrated safety management for EM activities. It is a central component of EM's response to the Department of Energy's (DOE's) commitment to promulgate requirements and associated instructions that provide direction and guidance for the safety management process, including responsibility for carrying it out (Department of Energy Implementation Plan Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 95-2: Commitment 4.1).

The EM FRAM defines the safety management functions and responsibilities necessary to accomplish the intent and requirements of DOE Directives that apply to EM. The EM FRAM captures all current responsibilities assigned¹ to the DOE program or line offices by the corporate-level DOE FRAM (DOE Manual 411.1-1A) and other management and safety management directives. The EM FRAM organizes or bins responsibilities into functional areas delineated by the DOE FRAM.

Each responsibility statement in the EM FRAM is specifically linked to either the EM organization with implementing authority or indicates whether the authority is delegated to the Field Element Managers² (FEMs). The EM FRAM is an administrative instrument for formal delegation of safety management authority within EM Headquarters. Delegations of authority to the FEMs are documented by formal memoranda only. Memoranda of delegation between EM Headquarters and the FEMs are referenced in the EM FRAM; however, the EM FRAM is a headquarters document and is not the formal mechanism by which delegations to the field are effected. Specific delegation memoranda to the FEMs are issued to establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.

¹ "Assign" is used in the EM FRAM to specify that the responsibility is Secretarial direction to a Secretarial Officer or Field Element Manager via a DOE Directive. This is in contrast to a delegation of authority issued by a CSO to an FEM, through which a CSO directs the FEM to carry out a particular function that is assigned to the CSO by the Secretary. For a delegation of authority the CSO remains responsible and accountable to the Secretary for the assignment. The terms: authority, responsibility and delegation are defined in Appendix C of this document based on the terminology used in the DOE FRAM.

² Field Element Manager indicates either the Operations Manager, Field Office Manager, or Area Office Manager that takes direction from the Assistant Secretary for Environmental Management.

1.0 INTRODUCTION

DNFSB Recommendation 95-2 advised DOE to institutionalize a safety management system with clearly defined roles and responsibilities that ensure assignment of ES&H responsibility and authority to line management. To satisfy this recommendation, the DOE 95-2 Implementation Plan renewed DOE's commitment to update the Headquarters and field roles and responsibilities via the DOE FRAM.

DOE is committed to an integrated management systems approach to ensure work is done safely. This approach is reflected in the guiding principles and core management functions established in DOE Policy 450.4, "Safety Management System." Among these guiding principles is the responsibility of DOE line management³ for safety and the clear definition and understanding of DOE functions, responsibilities and authorities. Throughout this document, the term "safety" is used synonymously with environment, safety and health (ES&H) to encompass protection of the public, the workers, and the environment.

The strategy for implementing these two guiding principles is further defined by DOE Policy 411.1, "Safety Management Functions, Responsibilities and Authorities Policy." This policy requires

1. Development of a corporate-level document that defines the Department's primary safety management functions, responsibilities and authorities, and
2. A framework for the development of lower-tier documents to further describe line, support, oversight, and enforcement organization implementation.

This document satisfies the corporate-level DOE FRAM requirement for a "lower tier" FRA-document that describes line organization implementation of the corporate level responsibilities delineated in the DOE FRAM. The EM FRAM captures all corporate-level DOE FRAM responsibilities assigned to specifically to EM and generally to the Secretarial Officers (SOs), Lead Program Secretarial Officers (LPSO), Program Secretarial Officers (PSO), and Cognizant Secretarial Officers (CSOs).

The EM FRAM is a living document that is reviewed and updated at least annually and is maintained under a formal change control system (Section 8.0)

2.0 OBJECTIVE

The objective of the EM FRAM is to ensure EM Headquarters functions, responsibilities, and authorities for safety management are clearly delegated both within EM Headquarters and from EM Headquarters to the field. The EM FRAM either identifies those EM Headquarters organizations whose function it is to carry out safety-related responsibilities or it identifies responsibilities for which authority is delegated to

³ "DOE line management" refers to that portion of the Department organization having a linear reporting relationship extending from the Secretary to the people in the facilities directly performing the Department's missions. It is distinct from "DOE support organizations," such as those of Offices of the Assistant Secretaries for Environment, Safety and Health, which also have safety responsibilities and functions [DOE M 411.1-1A].

the FEMs.

3.0 SCOPE

The EM FRAM applies to EM Headquarters employees only and, unlike the DOE FRAM, is not a DOE directive. The EM FRAM is an administrative instrument for formally delegating safety management authorities and functions within EM Headquarters. The EM FRAM identifies functions and authorities delegated to the FEMs; however, delegations to the FEMs are made through formal memoranda that define Headquarters expectations and qualifying or limiting conditions associated with the delegation. It is the field organization's responsibility to develop a FRAM that captures delegations from the program offices (i.e., EM, Defense Program, and Science) and specifically designates the organization within the field element that executes the delegated authority and function.

4.0 ORGANIZATION

EM has programmatic responsibilities for waste management, environmental restoration, technology development, and nuclear material and facility stabilization across the DOE complex. In addition to major mission-related projects and programs, EM has landlord responsibilities for numerous sites and facilities. EM is responsible for technical support to DOE's emergency management program and has a DOE-wide technical support role for the transportation and packaging and pollution prevention functional areas. Figure 1 shows the internal organization. The missions of the specific organizations within EM are summarized below.

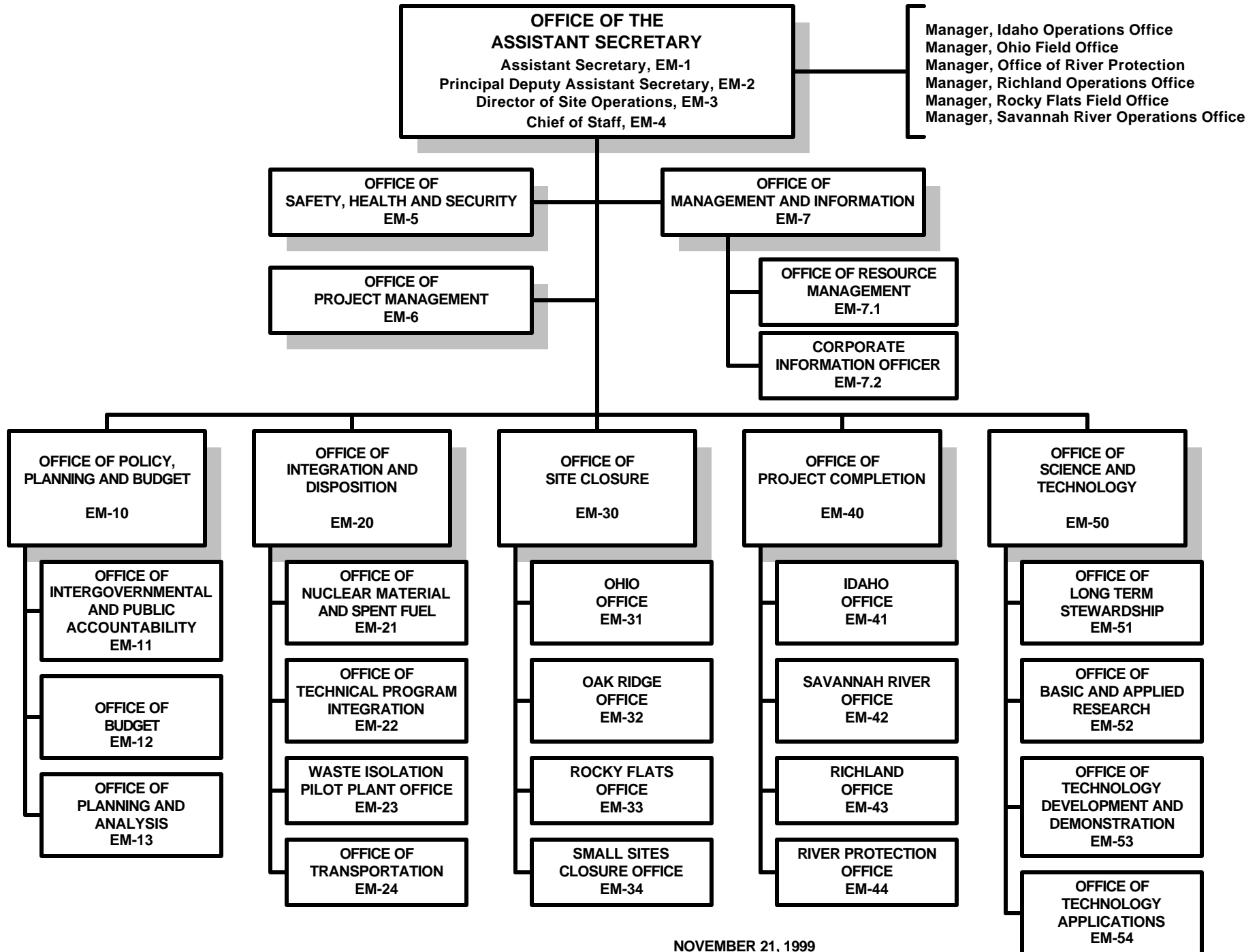
4.1 Office of the Assistant Secretary for Environmental Management

The Office of the Assistant Secretary for Environmental Management provides program policy development and guidance for the assessment and cleanup of inactive waste sites and facilities, and waste management operations; develops and implements an aggressive applied waste research and development program to provide innovative environmental technologies to yield permanent disposal solutions at reduced costs; and oversees the transition of contaminated facilities from various Departmental programs to environmental restoration once they are determined to be surplus to their original mission. The Office of the Assistant Secretary provides centralized management for the Department for waste management operations, environmental restoration and related applied research and development (R&D) programs and activities, including the EM program policy guidance to all DOE Operations Offices in these areas. EM is responsible for the institutional health and long-term planning, landlord activities, and for overall site integration and operations and provides direction, policy, and management oversight to the DOE Operations Offices at Idaho (ID), Ohio (OH), Rocky Flats (RF), Richland (RL), Savannah River (SR), and the Office of River Protection (ORP) at Richland as the LPSO. This includes overall line accountability for site-wide environment, safety and health, safeguards and security, and for implementation of policy promulgated by Headquarters staff and support functions.

4.2 Office of Safety, Health and Security

The Office of the Director for Safety, Health and Security is responsible for program overview and

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evaluation, policy development, technical support and assistance in the areas of Safety and Health and Safeguards and Security for EM. The Office serves as the EM focal point for these areas. The primary objective of the Office is to instill in all EM personnel an instinctive appreciation for their responsibilities in the areas of safety and security, so that those concepts are integral to all EM programs and activities. In addition, the Office's mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

4.3 Office of Project Management

The Office of the Director for Project Management serves as the focal point for independent project reviews within EM. As such, it reports directly to EM-1 and EM-2. The organization works in liaison with the Office of Field Integration and the other Program Secretarial Offices in conducting independent project reviews.

4.4 Office of Management and Information

The Office of the Director for Management and Information serves as the Assistant Secretary's principal advisor on all administrative and information management functions and activities within EM. These activities cover: human resource management; human resource development and training; general administrative support services (including domestic and foreign travel); organization and manpower management; space and logistics management; and, acquisition, procurement and contracts management. In addition, the Office serves and the Corporate Information Officer responsible for: automatic data processing (ADP); automated office support systems (AOSS); information technology; and information resources management (IM).

4.5 Office of Policy, Planning and Budget

The Office of the Deputy Assistant Secretary for Policy, Planning and Budget provides analysis and support to the Assistant Secretary for Environmental Management and throughout the Executive Branch on national and cross-cutting environmental management issues and activities. The Office is responsible for developing, in coordination with other program offices, general policy and planning guidance for EM programs. The Office is responsible for coordinating and leading the development, formulation, and presentation of the EM budget within the Department, the Executive Branch, and before the Congress. Additionally, the Office is responsible for ensuring the appropriate involvement of State, tribal and local governments, as well as interested members of the public, in all EM decisions.

4.6 Office of Integration and Disposition

The Office of the Deputy Assistant Secretary for Integration and Disposition is responsible for promoting, enabling and expediting site closure and project completion by conducting and providing multi-site services that facilitate the timely, coordinated, safe, and cost effective disposition of nuclear materials and waste, and deactivation and decommissioning of excess contaminated facilities. Because interdependencies exist between DOE sites and between EM and other DOE programs, the Office conducts technical integration activities to develop integrated policy, planning, technical and analytical guidance and assistance for the

EM program, including disposition strategies for nuclear materials and wastes, as well as providing services that promote, enable and expedite disposition and closure. The Office identifies disposition pathways for excess nuclear materials, spent nuclear fuels, legacy wastes and remediation wastes, analyses options with stakeholder input, and facilitates decision making between offices and programs. The Office also implements multi-site services such as support for deactivation and decommissioning efforts, lessons learned and technology transfer activities, pollution prevention/waste management analyses, transportation, transuranic waste disposal at the Waste Isolation Pilot Plant and the foreign research reactor spent nuclear fuel acceptance program.

4.7 Office of Site Closure

The Office of the Deputy Assistant Secretary for Site Closure is responsible for achieving the closure of sites in a manner which is safe, cost-effective, and coordinated with stakeholders. The goal of the Office is to remove obstacles which increase costs and prevent schedule acceleration. The Office provides, through a site team approach, site guidance and direction, resource allocation, site analysis, site advocacy both internal and external to the Department, policy evaluation, priority determination, program performance measures and performance monitoring at the Ohio Sites, the Oak Ridge Sites, the Rocky Flats Environmental Technology Site, and clean-up sites under the purview of the Albuquerque, Chicago, Nevada, and Oakland Operations Offices. The Office works closely with the Office of Integration and Disposition to ensure that complex-wide issues, lessons learned, and initiatives are reflected in site strategies and plans.

4.8 Office of Project Completion

The Office of the Deputy Assistant Secretary for Project Completion, through its Office and team structure, provides programmatic guidance and direction, resource allocation, program analysis, program advocacy (both internal and external to the Department), policy evaluation, priority determination, and performance monitoring of activities at the Idaho and Savannah River Sites, and for the Office of River Protection and Richland Operations Office both located at the Hanford Site. The programmatic mission encompasses reduction of high or moderate risk conditions associated with nuclear operations; protection of workers, the public and the environment from radiological and non-radiological hazards; safe management of spent nuclear fuel, and surplus hazardous and nuclear materials; treatment, storage, transportation, and disposal of radioactive, hazardous, and sanitary wastes; deactivation of facilities to attain lowest surveillance and maintenance costs; remediation of contaminated land; disposition of facilities to alternate future use or final decontamination and decommissioning; and operational oversight for the infrastructure facilities and programs (landlord) as needed to support business line missions. The Office serves as a facilitator, ombudsman and/or coordinator by providing leadership on crosscutting issues and topics raised by the field and/or EM Headquarters.

4.9 Office of Science and Technology

The Office of the Deputy Assistant Secretary for Science and Technology is responsible for managing and directing a national, solution-oriented science and technology program that provides the scientific foundation, new approaches, and new technologies that bring about significant reductions in risk, cost, and

schedule for completion of the EM cleanup mission. Science and Technology provides the full range of science and technology resources and capabilities, from a targeted basic research program through development, demonstration, and deployment and technical assistance needed to deliver and support fully developed, deployable scientific and technological solutions to EM cleanup and long-term stewardship problems. Establishes policy and provides guidance on long-term stewardship to ensure that human health and the environment are protected sustainably after cleanup is completed, sites are closed, waste is emplaced for disposal, or facilities are stabilized for long periods awaiting possible future remediation. Also, provides management oversight of DOE's EM laboratories, including institutional planning, policy and processes, and management contracts, to enhance and maintain the overall strength and vitality of the laboratories in contributing to the goals of the EM cleanup program.

5.0 INTERFACES

Successful execution of EM's mission requires clear communication of direction and feedback between the FEM and EM Headquarters. FEMs are responsible for contracting, authorizing and overseeing the safe conduct of EM programs and projects. Communications include the flow of direction from Headquarters to the field and the flow of appropriate feedback from the field to Headquarters. The EM line organization consists of a direct line extending from the Secretary to the Office of the Assistant Secretary for Environmental Management (which includes the Principal Deputy Assistant Secretary and the Director of Site Operations (see Figure 1)), then to the FEM, to the head of the contractor organization, and finally to the individual performing the work. The specific interfaces and lines of authority between the contractor head and the worker are defined in each FEM's FRAM.

EM Deputy Assistant Secretaries (DAS) are accountable for safety in their areas of responsibility and report directly to the Office of the Assistant Secretary for EM. DASs will be knowledgeable and aware of the safety status of their sites and promptly act on problems jeopardizing or which have the potential to jeopardize the safety and health of the workers, the surrounding population and/or the environment. In response to such problems, DASs will employ the powers and authority vested in them to facilitate corrective action at the site. If they are unable to facilitate the actions deemed necessary from the site, DASs will report immediately to the Office of the Assistant Secretary for assistance or intervention, as appropriate.

5.1 EM Headquarters and Field Elements

At the direction of the Secretary (April 21, 1999), the DOE adopted a LPSO concept for field office reporting. The LPSOs include Environmental Management, Science, and Defense Programs. Each field office now reports to one LPSO that is responsible and accountable for institutional health and long-term planning, landlord activities, and overall site integration and operations. At sites where EM is the LPSO, it has overall line accountability for site-wide environment, safety and health; safeguards and security; and implementation of policy promulgated by Headquarters staff and support function offices, e.g., Office of Environment, Safety and Health (EH), Office of Field Integration (FI), Office of General Council (GC).

At sites where EM is not the LPSO but maintains and funds programs at the site, it is considered a Program Secretarial Office (PSO). The PSO provides direction and defines the missions and budgets to

be implemented by the field for its specific programs. For dedicated program-specific facilities, where EM is the only PSO, EM is assigned as the Cognizant Secretarial Officer (CSO) for that facility or laboratory and is accountable for the ES&H within its confines (DOE M 411.1-1A). Where EM is the PSO having work performed at a site where it is neither the LPSO nor CSO, EM is responsible for providing broad program policy and direction to the field element manager (FEM) and for budgeting to support program work and an appropriate share of the landlord costs.

For facilities where EM is the CSO, it has generally delegated operating authority for its installations/facilities to the FEM, who has direct authority for day-to-day control. Delegation of safety authority to the FEM does not relieve the EM of responsibility for safety. EM is responsible for providing the direction and oversight necessary to ensure that missions are performed safely and within budget; FEMs direct, plan, and monitor the activities of DOE and contractor employees.

5.2 Interface between EM and DNFSB

The interface between DOE Organizations and the DNFSB are detailed in DOE M 140.1-1A, *Manual for DOE Interface with the DNFSB*. In summary, the Secretary maintains an interface with the DNFSB through the Departmental Representative to the Board, who represents the Secretary in interactions with the Board. The Departmental Representative advises the Secretary, Under Secretary, and Secretarial Officers of Board issues. The Departmental Representative coordinates with affected Secretarial Officers and designates a CSO to respond to a Board recommendation, correspondence, or other issues. If the Assistant Secretary for EM is the CSO responsible for responding, she designates and empowers a "Responsible Manager" for planning, response, and implementation of activities for that recommendation. The organizational level of a designated Responsible Manager is the highest Headquarters or field manager with direct responsibility for overseeing the identified safety issues and implementing the Department's response (typically either a Deputy Assistant Secretary or Operations/Field Office Manager).

5.3 Interfaces between EM, EPA, and State Environmental Regulatory Entities

EM's policy for negotiating and approving environmental compliance and cleanup agreements is delineated in "Review and Approval Guidance for Environmental Cleanup and Compliance Agreements," signed by the Assistant Secretary for Environmental Management on June 16, 1997. The Review and Approval Guidance assigns the field office as the lead for the Department in agreement negotiations. A Headquarters negotiation support team consisting of the appropriate EM Headquarters program office, the Director of the Office of Environmental and Regulatory Analysis (these functions are now under the cognizance of the Office of Intergovernmental and Public Accountability), the Office of the Assistant General Counsel for Environment (GC-51) is assigned to each agreement.

The lead Headquarters Program Manager⁴ serves as the primary liaison between the field office and the other Headquarters negotiation support team members and is responsible for ensuring inclusion of other team members throughout the process. The lead Program Manager works with other team members to ensure that their comments are satisfactorily resolved by the field office during negotiations. The lead Program Manager ensures that all necessary concurrences are obtained prior to submitting the agreement to the Assistant Secretary for Environmental Management for approval. All new agreements or significant modifications of existing agreements are approved by Assistant Secretary for Environmental Management, with concurrence from the lead program DAS, other DASs providing funding for agreement activities, the Director of the Office of Environmental and Regulatory Analysis (these functions are now under the cognizance of the Office of Intergovernmental and Public Accountability), the Director of the Office of Budget, and the Deputy General Counsel for Environment and Civilian Nuclear Programs (GC-50), unless lower levels are agreed upon. The lead EM Program Manager consults with the other Headquarters support team members to develop a joint recommendation regarding whether a modification to an existing agreement is “significant.”

5.4 Interface between EM and EH

EH interfaces with EM line management in an independent oversight and technical support role. The subjects of these interfaces include the following:

- *Departmental Policy, Technical Support, and Regulatory Liaison.* EH has the lead in establishing Departmental ES&H policy and standards. On ES&H matters, EH provides EM with expert resources and recommendations. Support for the above is provided via the Office of Safety, Health and Security. All policy and direction issued by EH that affects field operations must first be reviewed and approved by the Field Management Council.
- *Independent Oversight.* EH is the sole Headquarters element conducting independent oversight of ES&H.
- *Enforcement.* EH carries out the Department’s enforcement responsibilities under the Price-Anderson Amendments Act of 1988.

6.0 DIRECTION FROM MULTIPLE PROGRAM OFFICES

As noted above the Department has adopted the LPSO concept. LPSOs are responsible for resolving disputes among PSOs, CSOs, and field offices. Any conflict between a PSO and the LPSO, or among PSOs, concerning direction to the field is resolved by the Field Management Council. The Field Management Council is chaired by the Deputy Secretary as Chief Operating Officer and includes the

⁴In the context of the 1999 EM reorganization, the “Program Manager” means the Director of the pertinent Site Office under either the Deputy Assistant Secretary for Site Closure or Project Completion. For example, the Director for the Rocky Flats Office would be the EM Headquarters Program Manager for the renegotiation of a cleanup agreement for the Rocky Flats Environmental Technology Site.

Under Secretary; the Assistant Secretaries for Environmental Management, Defense Programs, and Science; a Director or Secretarial Officer from one of the other program offices; and an Operations/Field Office Manager. At sites where EM is the CSO, it is responsible for site-wide operational oversight on behalf of all programs having work performed at its sites. Non-lead PSOs are customers of the FEM; they provide broad program policy and direction, budget to support program work, and an appropriate share of the landlord costs.

Policies and guidance developed by the staff and support offices, such as EH, are reviewed by the Field Management Council and, if approved, passed to the LPSOs for implementation. The Field Management Council is responsible for ensuring consistency in the application of DOE policy and for maximizing uniformity of operational management approaches.

7.0 DELEGATION OF AUTHORITY

The Secretary is the source for all DOE authority and may delegate that authority throughout the Department and establish further responsibilities. Although the authority for executing specific functions can be delegated down the line to the individual who actually performs the function, the responsibility for that function cannot be delegated, but designees are to be held accountable for impropriety or dereliction in the use of delegated authority. In particular, contractors operating DOE facilities are accountable for performing their activities safely, while DOE line management is responsible for directing and monitoring the performance of those contractors to ensure the safety of the facilities.

Section 9 documents the assignment of responsibility and/or the delegation of authority for specific safety functions to specific DOE Headquarters offices or to the FEMs. These authorities may be delegated unless delegation is prohibited by regulation or other obligation, or by the DOE FRAM. Authority is delegated by means of DOE directives, mission statements, position descriptions, or memoranda. Records of delegation relating to EM FRAM responsibilities are kept current by the EM Office of Safety, Health and Security.

Delegation of approval authority does not preclude EM Headquarters from issuing requirements, expectations, and guidance affecting that authority, or from participating in field element interactions with the operating contractor. EM Headquarters will coordinate any interactions with an operating contractor through the cognizant field element.

The following restrictions apply to the delegation of authority.

- All delegations of authority must be in writing, which must be provided to the designee. This document shall establish a clear understanding between the delegating authority and the designee of the specific function delegated and all circumstances under which the authority may be exercised, including any restrictions or prohibitions related to further delegation.
- The delegation may be rescinded by the delegating authority in writing at any time.
- In some cases, existing informal agreements between EM Headquarters and the FEM have the

effect of delegating to the field the authority for approving broad categories of contractor documents. These agreements are documented in the EM and FEM FRAMs.

- Verbal delegations shall not be used unless covered by a written delegation (e.g., that the Deputy Manager assumes authority whenever the Manager is on travel).
- Permanent delegations are in effect until rescinded in writing by the delegating official. Temporary delegations specify when authority is to be terminated.
- Any time a DOE signature is required, the signing official shall have written authority.

The EM FRAM is an administrative vehicle by which safety management authority is documented and delegated within EM Headquarters. Although the EM FRAM documents delegations of authorities and functions to the FEMs, it is not the administrative vehicle for such delegations. All delegations to the FEM are documented in official memoranda of delegation that inform the FEM of his/her delegated authorities. These delegations are cited (by number) in the main body of the EM FRAM (Table 1) and linked to a numbered list of references at the end of the document.

8.0 CHANGE CONTROL

The Assistant Secretary for Environmental Management is responsible for approving and maintaining the EM FRAM as a living document. Before approval, the EM FRAM is reviewed by the Office of Environmental Management and all other DOE organizations with interfaces with EM including EH, DP, and all FEMs under EM's cognizance. The Director of the Office of Safety, Health and Security has the lead responsibility for the EM FRAM. The EM FRAM is maintained under the following change control procedure. Controlled numbered copies are maintained and distributed to the Assistant Secretary, the Deputy Assistant Secretaries, the EM Office Directors, other DOE Organizations with interfaces with EM and the DNFSB. Changes to the EM FRAM are made in response to:

- 1 Changes in an internal EM delegation of specific ES&H authority,
- 2 Changes in delegations of authority to the FEM,
- 3 Reorganizations of EM, and
- 4 Changes in the DOE Directive System that modify contents of the EM FRAM including:
 - a Modification of an existing Order or Manual that affects EM responsibilities,
 - b Cancellation of an Order or Manual with replacement by a new Order or Manual,
 - c Cancellation of an Order or Manual without replacement, and
 - d Cancellation of an Order or Manual with replacement by a rule.

Changes to any of these items will require modification of the EM FRAM and some form of approval by the Assistant Secretary. For minor changes, review and reapproval by EM-1 will not be necessary for the EM FRAM. Instead, the EM FRAM documents the change by referencing the administrative document signed by the Assistant Secretary that created the change and a copy is to be placed in Appendix D. The procedures for changing the EM FRAM are adapted from the procedures used to change DOE Directives (DOE M 251.1-1A, Chapter II, paragraph 5). The procedures are as follows:

Changes are made to the EM FRAM through complete revision or page changes. A transmittal sheet will summarize content changes.

- i. When the EM FRAM is substantially changed (20 percent of the pages or more contain changes), it is reissued for Approval by EM-1. Each revision is assigned a new number (current revision number plus one).
- ii. Minor changes are issued as page changes. The EM FRAM's revision number is not be changed; however, it is assigned a new change number (e.g., Change 1, Change 2, etc.) On each changed page, the change number and date of the page is shown beneath the EM FRAM's revision number. If necessary, pagination is adjusted by adding letters to the page numbers (11, 12, 12a, 12b) or by adding a blank pages for pages that have been deleted. Blank pages are marked: "This page is left intentionally blank."
- iii. Changes to the EM FRAM are identified by use of side bars.

As changes are made to the EM FRAM, new modified pages containing changes are issued to the numbered document owners within EM. Changes are accompanied by a transmittal letter with explicit instructions for making the appropriate page changes.

The approved EM FRAM is an administrative instrument for making and documenting delegations of safety management functions and authority within EM. Function and authority changes made after approval of Revision 2, will be formally documented by memoranda, signed by the Assistant Secretary or her designee. The memoranda will be included in Appendix D of the EM FRAM and referenced appropriately within the main body of the EM FRAM (Table 1).

Changes in delegation of authority to the FEM require a formal memorandum between EM-1 and the affected FEM's.

Changes to DOE Directives, as defined in statement "4" of this section, may require that the Assistant Secretary or her designee, delegate the authority for implementation of the new responsibilities either within EM or to the Field. The Office of Safety, Health and Security will monitor the DOE Directives System and notify the Assistant Secretary of pertinent changes. The Office of Safety, Health and Security will provide the Assistant Secretary a formal transmittal that describes the change and provides either draft assignments of functions within EM or a draft delegation memorandum to the FEMs.

Cancellation of an Order replaced by a rule issued under Title 10 of the Code of Federal Regulation will require special consideration. Cancellation of an Order under this circumstance does not necessarily absolve the responsible organizations within DOE of their functions for ensuring implementation of requirements in the newly issued rules. Cancellation of an Order under this circumstance will require an evaluation of the requirements in the superseding rule to determine the need to continue line management oversight of the requirements. For example, if the requirements in the rule do not significantly differ from those in the canceled Order, then there should be no modification in the EM FRAM.

9.0 SAFETY MANAGEMENT FUNCTIONS, AUTHORITIES AND RESPONSIBILITIES

The DOE FRAM requires that “lower-tiered” FRA documents capture the safety management functions and responsibilities necessary to accomplish the intent of DOE directives, regulations, and safety management mechanisms.” To fulfill this direction, the EM FRAM directly quotes the corporate-level DOE FRAM and ES&H directive responsibilities assigned to EM (e.g., the SO, LPSO, CSO, PSO) and either

- 1) Describes which EM organizations have the lead and support role for its implementation or
- 2) Indicates that the authority is delegated to the FEM.

The corporate-level DOE FRAM contains responsibility statements assigned to EM, the LPSO, PSO, CSO, and SO and is organized or binned into the safety management system functions listed below:

- C Provide Direction,
- C Define Scope of Work,
- C Analyze Hazards,
- C Develop and Implement Controls,
- C Perform Work, and
- C Collect Feedback and Pursue Improvement.

The categories are also further subdivided in various subcategories.. The EM FRAM captures all the corporate-level responsibilities assigned to EM and designates the EM organization with the lead and support implementing role. It then bins other related DOE directive responsibilities under the corporate-level responsibilities. For example, the DOE FRAM contains three responsibility statements under the main heading “Provide Direction” and the subheading “Budget for Program.” The EM FRAM includes the three responsibilities and identifies the EM

Acronyms for Table 1 FRA Assignments

ASEM	Office of the Assistant Secretary
DASs	All EM Deputy Assistant Secretaries
DSO	Director, Site Offices (Site Leads)
FEM	Field Element Manager
OB	Office of Budget
ODs	All EM Office Directors
OID	Office of Integration and Disposition
OIPA	Office of Intergovernmental and Public Accountability
OMI	Office of Management and Information
OPA	Office of Planning and Analysis
OPB	Office of Planning and Budget
OPC	Office of Project Completion
OPM	Office of Project Management
ORM	Office of Resource Management
OT	Office of Transportation
OTPI	Office of Technical Program Integration
OSC	Office of Site Closure
OSHS	Office of Safety, Health and Security
OST	Office of Science and Technology

organizations that have either the lead or support role for fulfilling the responsibilities. Also under this section (1.4 in the following table), the EM FRAM cites and quotes budget-related CSO responsibilities from DOE O 130.1, *Budget Formulation*, and DOE O 430.1A, *Life Cycle Asset Management* and identifies the EM organizations having either the lead or support role in fulfilling the respective responsibilities.

The following table contains a line-by-line analysis of which EM organization has the function or authority for implementing a particular safety management responsibility. Each row of the table consists of five columns, including:

- 1 Numerical identifier,
- 2 Citation of the DOE directive,
- 3 Quotation of a responsibility statement,
- 5 Abbreviation of the EM organization(s) with the lead role in ensuring the responsibility is fulfilled,
- 4 Abbreviation of the EM organization(s) with the support role in ensuring the responsibility is fulfilled, and
- 5 Any necessary notes to further clarify how a particular responsibility is either dispositioned within EM or delegated to the FEM. This column is used to cite applicable delegation memoranda.

For example, row “3.1.02” (Table 1), cites DOE M 411.1-1A⁵, and quotes the directive: “Approve final facility hazard classification for nuclear facilities, where this authority has not been delegated.” The “FEM” is listed in column four under the heading “Lead Role,” indicating that the responsibility is delegated to the field. There are no organizations listed in the “Support Role” column. In the last column, “Notes,” the following clarification for the conditions of the delegation are included: “Delegated to FEM for Hazard Category 2 and below facilities. EM has no Category 1 Facilities: Delegation Memo 2.” The latter citation, “Delegation Memo 2,” refers to a list of numbered citations in the list of references at the end of the EM FRAM.

⁵Full titles and dates of the directives are provided in Appendix A.

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
<u>1.1 DOE Strategic Plans, Including Mission Statements</u>					
1.1	DOE M 411.1-1A	Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's Mission Statement.	OPA	ODs	
<u>1.2 Secretarial Office Strategic Plans Including Mission Statement</u>					
1.2	DOE M 411.1-1A	Prepare Secretarial Office strategic plans and mission statements, and submit them to the Deputy Secretary for approval. Implement DOE and Secretarial Office strategic plans and mission statements.	OPA	ODs	
1.2.01	DOE O 413.1	Heads of Departmental Elements shall: consider reportable problems in the strategic planning and budgeting processes. (According to DOE G 120.1-5: Government Performance and Results Act of 1993 requires each Federal Agency to develop strategic plans prior to FY 1998, which include a comprehensive mission statement)	OPA OB	ODs	
<u>1.3 CSO Mission Assignment to FEM</u>					
1.3	DOE M 411.1-1A	Provide mission assignments and program guidance to FEMs.	OB	ODs	
<u>1.4 Budget For Program</u>					
1.4	DOE M 411.1-1A	Prepare the proposed budget for the program office and coordinate with the headquarters' Chief Financial Officer.	OB	ODs	
1.4.01	DOE M 411.1-1A	The LPSO is responsible for long-term planning, for landlord activities, and for sitew ide safety.	ASEM	DSOs OB	
1.4.02	DOE M 411.1-1A	LPSO Principal Deputy for Operations Responsibilities: Assist the LPSO in managing operational functions and activities.	OSC OPC		
1.4.03	DOE M 411.1-1A	Provide broad program policy and direction to the field, budget to support program work and an appropriate share of the landlord costs.	ASEM	DSOs OB	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.4.04	DOE M 411.1-1A	The PSO retains line responsibility for the safety of their specific facilities.	ASEM	DSOs OSHS	
1.4.05	DOE O 430.1A	Leads in defining, planning, and budgeting for program needs, including operations, facilities, and projects.	OB	ODs	
1.4.06	DOE O 130.1	Prepare programmatic budget requirements and guidance needed by Field Elements to develop budget data required at Headquarters for the CRB process. Submit guidance to the Office of Budget in a timely manner for issuance in the field budget call.	OB	ODs	
1.4.07	DOE O 130.1	Designate and maintain a principal point-of-contact for the budget formulation process.	OB		
1.4.08	DOE O 130.1	Provide the Office of Budget with new or unforeseen field budget data requirements that need to be issued supplemental to the field budget call.	OB	ODs	
1.4.09	DOE O 130.1	Work through Field Office-designated budget points-of-contact rather than through direct interaction with contractors on field budget matters.	OB		
1.4.10	DOE O 130.1	Develop CRB budget requests consistent with the Department's Strategic Plan, Secretarial decisions resulting from the spring planning process, the CRB budget call, and DOE Budget Formulation Instructions.	OB	ODs	
1.4.11	DOE O 130.1	Develop OMB budget requests in compliance with final Secretarial budget decisions resulting from the CRB process, the OMB budget call, OMB Circular A-11, and DOE Budget Formulation Instructions reporting requirements.	OB	ODs	
1.4.12	DOE O 130.1	Participate in OMB budget hearings and provide, through the Office of Budget, additional data if requested by OMB in support of the program's budget request.	OB	ODs	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.4.13	DOE O 130.1	Develop congressional budget requests in compliance with final Presidential policy and economic decisions, and supporting OMB funding allowance levels. Requests shall also comply with guidance, formats, and reporting requirements contained in OMB Circular A-11, the Congressional Budget Call, and DOE Budget Instructions.	OB	ODs	
1.4.14	DOE O 130.1	In coordination with the Office of Budget, brief appropriations subcommittee staffs on the organization's portion of the Department's budget and provide additional data to Congress through the Office of Budget, as requested.	ASEM	DASs	
1.4.15	DOE O 130.1	Testify at congressional budget hearings, if requested, and provide additional data to Congress, as needed, in support of the program's budget request.	ASEM	DASs	
1.4.16	DOE O 130.1	Develop internal procedures and controls to ensure compliance with all CFO requirements and to ensure that all field budget data requirements are submitted through the field budget process to eliminate the need for unilateral budget requests to Field Elements.	OB		
1.4.17	DOE O 430.1A	Notify field elements of plans to close program facilities.	ASEM	DSOs	
1.4.18	DOE O 430.1A	Coordinate with the [Office of Field Integration] and field elements to support an efficient, economic approach to physical asset management.	ASEM	DSOs	
1.4.19	DOE O 430.1A	Develop, document, and maintain a system to prioritize the acquisition of programmatic physical assets, including upgrades.	OMI	DSOs	
1.4.20	DOE O 430.1A	Participate in the Life-Cycle Asset Management Planning and Analysis Group	ASEM	DSOs	
1.4.21	DOE O 430.1A	Support or, if delegated, lead the critical decision process for strategic systems funded by the program	OB	DSOs	OB provides the lead for budget; DSOs provide input to OB for Sites and Programs under their respective cognizance.

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.4.22	DOE O 430.1A	Issue policy relative to its programmatic planning, budgeting, and execution activities.	OB	DSOs	
1.4.23	DOE O 430.1A	Support, including funding, the Field Elements in the management of inactive and excess program facilities that have not been transferred to the appropriate organization for deactivation and decommissioning. Ensures that radioactive and hazardous materials and waste are removed unless otherwise agreed to prior to facility transfer, and completes a Pre-Transfer Review prior to the transfer of a facility unless otherwise agreed to by the Program Office to which the facility will be transferred.	DSOs	OB	
1.4.24	DOE O 430.1A	For multi-program sites, provide support, including resources, to the program performing the responsibilities of the landlord.	OB	DSOs	
1.4.26	DOE O 430.1A	Support DOE Field Element's management of site infrastructure by prioritizing and budgeting for real property needs in a manner consistent with current and planned site mission activities. For multi-program sites these responsibilities include coordination of funding requirements with other Program Offices.	DSOs	OB	
1.4.27	DOE O 430.1A	Issue policy relative to its infrastructure planning and budgeting activities.	ASEM	DSOs OB	
1.4.28	DOE O 430.1A	Support, including funding, Field Elements in the management of inactive and excess landlord facilities that have not been transferred to another Program Office.	DSOs	OB	
1.4.29	DOE O 430.1A	Lead issue resolution between Program Offices regarding possible conflicts in planned infrastructure uses at multi-program sites.	ASEM		ASEM resolves issues among other PSOs via the Field Management Council
1.4.30	DOE O 430.1A	Support Field Elements in site-wide and external facilities management and infrastructure issues requiring Headquarters involvement.	DSOs		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.4.31	DOE O 430.1A	Support or, if delegated, lead the critical decision process for strategic systems funded by the landlord.	ASEM	DSOs	
1.4.32	DOE O 430.1A	Coordinate landlord facilities management activities with other DOE landlord programs to provide a consistent approach to landlord facilities management.	ASEM	DSOs	ASEM resolves issues among other PSOs via the Field Management Council
1.4.35	DOE O 430.1A	Assume the responsibilities of the Field Element for project management and physical asset management not delegated to the Field Element.	ASEM	DSOs OB	
1.4.37	DOE O 430.1A	Develop, document, and maintain a system to prioritize the acquisition of nonprogrammatic physical assets.	OMI	DSOs	
<u>1.5 Resource Allocations to FEM</u>					
1.5	DOE M 411.1-1A	Allocate resources consistent with the final approved budget to accomplish missions and safety initiatives.	OB	ODs	
<u>1.6 Technical Qualification And Competency</u>					
1.6	DOE M 411.1-1A	At defense nuclear facilities: Provide adequate resources and support for the Federal Technical Capability Program	OMI	DASs ODs	All supervisors and managers support this effort through OMI
1.6.01	DOE M 411.1-1A	At defense nuclear facilities: Implement the Federal Technical Capability Program for their organizations	OMI	DSOs	
1.6.01	DOE M 411.1-1A	At defense nuclear facilities: Implement the Federal Technical Capability Program for their organizations	OMI	DSOs	
1.6.02	DOE M 411.1-1A	Ensure that personnel are qualified to perform their safety management functions and that these qualifications are reflected in position descriptions and performance criteria.	OMI	DASs ODs	
1.6.03	DOE M 411.1-1A	Recruit, maintain, and support the DOE Core Technical Group of subject matter experts.	DASs		Delegation Memo 9
1.6.04	DOE O 360.1A	Approve training policies and procedures for their DOE element.	ASEM	OMI	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.6.05	DOE O 360.1A	Prioritize critical needs, provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes	OMI		
1.6.06	DOE O 360.1A	Define mandatory training requirements for employees in their element, including manager and supervisor training among other responsibilities.	OMI		
1.6.07	DOE O 360.1A	Ensure efficient and effective management of training programs for their elements' workforces.	OMI		
1.6.08	DOE O 360.1A	Designate training approval and authorization officials for their DOE elements.	ASEM	OMI	
1.6.09	DOE O 360.1A	Assign responsibilities for training requirements and functions, including designation of a training official(s) and a DOE point of contact and an alternate for training programs.	OMI		
1.6.10	DOE O 360.1A	Approve their elements' participation in training agreements governing multi-element programs.	OMI		
1.6.11	DOE O 360.1A	Approve training agreements for their own elements' programs, agreements with other DOE elements on one-to-one basis, and local geographic area interagency and intergovernmental training-related agreements.	ASEM	OMI	
1.6.12	DOE O 360.1A	Provide subject matter experts to meet training program requirements.	DASs ODs	OMI	All supervisors and managers support this effort through OMI
1.6.13	DOE O 360.1A	Ensure training compliance with applicable laws, regulations, policies, requirements, and provisions of workforce training agreements.	DASs ODs	OMI	Responsibility is Assigned to all Managers, Supervisors, and Employees.
1.6.14	DOE O 360.1A	Participate in performance and training needs assessments and related workforce planning, identify training opportunities, and maintain current individual development plans.	DASs ODs	OMI	Responsibility is Assigned to all Managers, Supervisors, and Employees.

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.6.15	DOE M 360.1A	Develop and implement a Technical Qualification Program Plan as a separate component of its training plan. Technical Qualification Program Plans must be approved by the head of the element and include the process and requirements for the following: (1) identifying personnel and positions required to participate in the Technical Qualification Program; (2) identifying and maintaining technical qualification standards or individual qualification requirements, as appropriate; (3) evaluating employees against qualification standards and documenting the approval of equivalencies for DOE-wide competencies; (4) establishing and updating individual development plans, training plans, qualification cards or related records to document learning activities; (5) implementing continuing training and requalification programs; and (6) applying evaluation requirements for completing the technical qualification standard (e.g., written or oral examinations).	OMI		
1.6.16	DOE M 360.1A	Qualification requirements must be documented by each DOE element in qualification standards or other appropriate means. These requirements must be established using the systematic approach to training methodology and include the necessary basic technical knowledge; technical discipline competency requirements; and position-specific knowledge, skills, and abilities.	OMI		
1.6.17	DOE M 360.1A	Designate the positions in their respective organizations required to participate in the Technical Qualification Program and the applicable qualification standard(s).	OMI		
1.6.18	DOE O 5480.20A	Assume line management responsibility and accountability for nuclear facility personnel qualification programs	ASEM	DSOs OSHS	
1.6.19	DOE O 5480.20A	Perform reviews to confirm implementation of this Order using DOE-STD-1070-94	DSOs	OSHS	Delegation Memo 10
1.6.20	DOE O 5480.20A	Assure that Secretarial Office personnel responsible for training are proficient in personnel training processes and requirements, and that they have diverse expertise so that important areas related to nuclear and occupational safety are covered;	OMI		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

1 Provide Direction					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
1.6.21	DOE O 5480.20A	Approve assessments for full-scope or part-task simulators at Category A test and research reactor facilities.	ASEM		EM has no Category A reactor facilities

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work						
ID	Directive	Responsibility	Lead Role		Support Role	Notes
2.1 Policies, Orders, Notices, Manuals, Guides, and Page Changes						
2.1.01	DOE M 411.1-1A	If EM is the Office of Primary Responsibility (OPI): Prepare draft directives using Department resources as appropriate to ensure development of a quality product consistent with Department missions. Submit final draft directives that have the potential to affect field operations and more than one PSO to the FMC for review .	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2
2.1.02	DOE M 411.1-1A	If EM is the OPI: For submission to the FMC, a Deputy Assistant Secretary or higher official in the OPI must approve the draft and its accompanying justification documents.	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2
2.1.03	DOE M 411.1-1A	If EM is the OPI: Revise directives as necessary and provide technical interpretation of directive requirements.	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2
2.1.04	DOE M 251.1-1A	If EM is not the OPI: Heads of Departmental Elements . . . provide comments on directives systems documents as requested. . . review Directive Management Documents and draft directives and provide comments w ithin established schedules.	DASs		OSHS	As assigned by ASEM
2.1.05	DOE M 411.1-1A	If EM is the OPI: Submit final draft Policies, Orders, Notices, Manuals, Guides, and Page Changes to MA-1 for issuance	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2
2.1.06	DOE M 411.1-1A	If EM is the OPI: Designate a Directive Development Manager to coordinate review of directives (see DOE M 251.1-1A)	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2
2.1.07	DOE M 411.1-1A	If EM is the OPI: Identify the program offices that have the potential to be affected and coordinate w ith PSO for that program office for review and comment; coordinate w ith program counsel in the Office of General Counsel for review and comment	OTPI	OT		OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work						
ID	Directive	Responsibility	Lead Role		Support Role	Notes
2.1.08	DOE M 411.1-1A	If EM is not the OPI: Review and comment on proposed directives. Recommend technical and cost-saving improvements where appropriate. Provide staff to participate on focus groups or technical development teams to ensure a quality product is developed. Alert OPI to any inconsistencies between the proposed directive and Department and SO missions. Review and approve, or deny with reason, applications for exemptions (see DOE M 251.1- 1A).	ASEM		OSHS	
2.1.09	DOE M 251.1-1A	If EM is the OPI: Develop and maintain directives within their functional areas that conform to the requirements of the Manual and are responsible for the technical content of directives.	OTPI	OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
2.1.10	DOE M 251.1-1A	If EM is the OPI: (1) Determine, based on the survey mentioned above, whether the directive is to be revised. (2) Revise the directive, if necessary, prior to sunset/expiration.	OTPI	OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
2.1.11	DOE M 251.1-1A	If EM is the OPI: Prepare Directive Management Documents (DMDs) (Attachment II-1) for new directives and major revisions. The DMD shall reflect preliminary cost documentation.	OTPI	OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
2.1.12	DOE M 251.1-1A	If EM is the OPI: Prepare an initial and final cost impact estimate for each Order, Notice, or Manual with new , modified, or canceled requirements that are likely to increase or decrease implementation costs. (Note: This requirement will not be implemented until approval and issuance of DOE G 251.1-2.)	OTPI	OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
2.1.13	DOE M 251.1-1A	If EM is the OPI: The Office Primary Interest for all directives affecting health and safety at defense nuclear facilities, coordinate with the Departmental Representative to the Defense Nuclear Facilities Safety Board (DNFSB). The Departmental Representative, working with the Office of Primary Interest, will ensure that the DNFSB has been provided an opportunity to comment on directives prior to issuance.	OTPI	OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
2.1.14	DOE M 251.1-1A	If EM is the OPI: Office of Primary Interest: Prepare DMDs and directives, resolve comments received from review ers, and provide feedback to them prior to submitting a final draft directive to the Directives System Manager for issuance. Prior to the issuance of a directive, Offices of Primary Interest must concur in the final language (including proposed editorial changes and specific language implementing Directives Management Board decisions) contained in directives under their purview .	OTPI OT		OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
2.2 Technical Standards for Use within DOE					
2.2.01	DOE M 411.1-1A	If EM is the OPI: Approve final DOE Technical Standards and send to DOE Technical Standards Manager for issuance.	ASEM	OSHS	
2.2.02	DOE M 411.1-1A	If EM is the OPI: Identify established consensus standards for use by DOE, or document need for a DOE Technical Standard. Approve final DOE Technical Standards and send to DOE Technical Standards Manager for issuance. Prepare draft DOE Technical Standards w hen these are consistent w ith Department mission and consistent w ith PL 104-113. Coordinate draft DOE Technical Standards in accordance w ith directions from the DOE Technical Standards Program.	OSHS	ODs	
2.2.03	DOE M 411.1-1A	If EM is not the OPI: Review and comment on proposed DOE Technical Standards. Recommend technical and cost- saving improvements w here appropriate. Provide staff to participate on focus groups or technical development teams. Ensure proposed DOE Technical Standards are consistent w ith program office missions.	OSHS	ODs	
2.2.04	DOE M 411.1-1A	Review and comment on proposed DOE Technical Standards.	OSHS	ODs	
2.2.05	DOE O 252.1	Manage their organization's participation in the DOE Technical Standard Program (TSP).	OSHS		
2.2.06	DOE O 252.1	Designate a TSM to serve as the organization's point of contact for technical standards activities and coordinate w ith the TSP by participating in the TSMC.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
2.2.07	DOE O 252.1	Ensure that technical standards identified or developed by their elements for DOE-wide use are products of the TSP or recognized standards development organizations.	OSHS		
<u>2.3 Rules</u>					
2.3	DOE M 411.1-1A	Review and comment on proposed rules. Recommend technical and cost-saving improvements where appropriate. Provide staff to participate on focus groups or technical development teams.	ODs	OSHS	
2.3.01	DOE M 411.1-1A	Ensure that resources used in implementing rules is appropriate to provide reasonable assurance of adequate protection in the operation of nuclear facilities.	DSOs	OSHS	
<u>2.4 Contract performance expectations</u>					
2.4.01	DOE M 411.1-1A	Provide guidance to FEMs on expected performance, and set goals and priorities, allocate resources.	DSOs		
2.4.02	DOE M 411.1-1A	Concur on proposed DEARs that affect safety. [48 CFR, Chapter 9]	ASEM	DASs	
2.4.03	DOE O 430.1A	Lead in establishing and clearly stating expected program performance objectives and program performance criteria and supports the contracting officer in implementation of performance criteria for stated objectives.	DSOs		
2.4.04	DOE O 430.1A	Verify that Field Elements have the asset management performance criteria and measures in place to effectively oversee programmatic facilities.	DSOs		
2.4.05	DOE O 430.1A	Lead in establishing infrastructure performance objectives and supports the contracting officer in developing performance criteria for the site.	DSOs		
<u>2.5 Organization FRA Documents</u>					

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

2 Define Scope of Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
2.5.01	DOE M 411.1-1A	Prepare FRAMs for each organization to delineate how the applicable responsibilities and authorities in this manual are performed.	OSHS		
2.5.02	DOE M 411.1-1A	Approve and implement FRAMs for each organization to delineate how the applicable responsibilities and authorities in this manual are performed.	ASEM	DASs ODs	
<u>2.6 Approval of safety management system documentation</u>					
2.6	DOE M 411.1-1A	Jointly (PSO, EH, and FEM) develop and submit a list of highly qualified senior technical safety managers to the Deputy Secretary for review and approval for use in forming review teams.	OMI	DASs ODs	All supervisors and managers support this effort through OMI
<u>2.7 Allocate Resources to Contractor</u>					
2.7	DOE M 411.1-1A	Prepare budget execution documents in accordance with DEAR, DOE Order 135.1, and DOE Manual 135.1-1 to allocate resources to contractors. Ensure funds and resources are appropriately used.	OB	DSOs	
2.7.01	DOE O 135.1	Secretarial Officers shall submit proposed rescissions and deferrals to the Chief Financial Officer.	OB	DSOs	
2.7.02	DOE O 135.1	Adhere to funds control processes and procedures as contained in DOE M 135.1-1, Budget Execution Manual.	OB	DSOs	
<u>2.8 Prioritize Tasks</u>					
2.8	DOE M 411.1-1A	Review the safety management system and provide guidance to the FEM regarding its ability to ensure that mission and safety expectations can be met within budget constraints (see DOE P 450.4, Safety Management System Policy, Guiding Principle 4, Balanced Priorities).	DSOs	OB OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
3.1 Categorize Facility/Activity Based on Hazards					
3.1.01	DOE M 411.1-1A	Monitor and assess the effectiveness of FEM oversight of contractor analysis of hazards associated with work at their facilities.	DSOs	OSHS	
3.1.02	DOE M 411.1-1A	Approve final facility hazard classification for nuclear facilities, where this authority has not been delegated.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Category 1 Facilities: Delegation Memo 2.
3.1.03	DOE M 411.1-1A	Monitor the FEM's program for hazard classification of facilities and activities.	DSOs	OSHS	
3.2 Evaluate Environmental Impacts					
3.2.01	DOE O 451.1A	Establish a NEPA compliance program and use the NEPA process early in project and program planning to consider environmental factors along with other relevant information.	ASEM	DASs	
3.2.02	DOE O 451.1A	Maintain a DOE NEPA Compliance Officer (NCO) for the office	ASEM		OIPA is the current NEPA compliance officer
3.2.03	DOE O 451.1A	Designate a DOE NEPA Document Manager (NDM) at the start of each environmental assessment and environmental impact statement.	DASs		DAS designates an NDM for NEPA activities originating from their office
3.2.04	DOE O 451.1A	Ensure that internal scoping procedures, a quality assurance plan and a public participation plan are prepared for the office.	DASs		For NEPA activities originating from their respective offices
3.2.05	DOE O 451.1A	Include in new contracts and grants a provision that the awardee may not undertake on DOE's behalf an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA requirements.	DASs	ODs	
3.2.06	DOE O 451.1A	Incorporate NEPA milestones in project planning documents.	DASs		For NEPA activities originating from their respective offices
3.2.07	DOE O 451.1A	Incorporate NEPA compliance status information in internal budget review documents.	OB	ODs	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
3.2.08	DOE O 451.1A	Submit an annual NEPA planning summary to the Assistant Secretary for Environment, Safety and Health by January 31 of each year and make it available to the public.	OIPA		
3.2.09	DOE O 451.1A	Determine that an environmental assessment is appropriate or that an environmental impact statement is appropriate or required.	ASEM	DASs	For NEPA activities originating from their respective offices
3.2.10	DOE O 451.1A	After an environmental assessment determination, prepare and issue an environmental assessment. Responsibilities for approving and adopting environmental assessments and issuing FONSI may not be delegated except as provided in this Order.	DASs		For NEPA activities originating from their respective offices
3.2.11	DOE O 451.1A	When another agency is involved in preparation, determine whether DOE shall be a lead or cooperating agency.	ASEM	OIPA	
3.2.12	DOE O 451.1A	Obtain concurrence of DOE counsel in the legal adequacy of an environmental assessment before it is approved and in any finding of no significant impact before it is issued.	DASs		For NEPA activities originating from their respective offices
3.2.13	DOE O 451.1A	Determine, based on an environmental assessment, that the impacts of a proposed action are significant and that an environmental impact statement is required, or issuing a finding of no significant impact when appropriate.	ASEM	DASs	
3.2.14	DOE O 451.1A	Adopt another agency's environmental assessment [as appropriate].	ASEM	OIPA	
3.2.15	DOE O 451.1A	When a commitment to mitigation is essential to render the impacts of a proposed action not significant, preparing a mitigation action plan for any such commitment before issuing the finding of no significant impact.	DASs		For NEPA activities originating from their respective offices
3.2.16	DOE O 451.1A	Track and annually report progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impacts of a proposed action not significant.	DASs		For NEPA activities originating from their respective offices

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

3 Analyze Hazards					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
3.2.17	DOE O 451.1A	Request from EH-1, delegation of approval or adoption authority for a specific environmental impact statement when appropriate to expedite the review and approval process.	ASEM	DASs	
3.2.18	DOE O 451.1A	When required by the Regulations, prepare a supplement analysis and with the concurrence of DOE counsel, determine whether a supplemental or a new environmental impact statement is required for a proposed action, or whether no further documentation is required.	ASEM	DASs	
3.2.19	DOE O 451.1A	Determine that a proposed action that may be an interim action is clearly allowable under the Regulations. For a proposed action that may be an interim action not clearly allowable under the Regulations, provide the Assistant Secretary for Environment, Safety and Health with a recommendation for a determination whether the proposed action may proceed.	ASEM	DASs	
3.2.20	DOE O 451.1A	Incorporate NEPA values, . . . to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.	ASEM	DSOs OIPA	
3.2.21	DOE O 451.1A	When appropriate, request from EH-1 a variance from the DOE NEPA Regulations or a variance from this Order.	ASEM	DASs	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.1 Identify Standards And Requirements					
4.1.1	DOE M 411.1-1A	Ensure that an authorization agreement is agreed-upon between the contractor and DOE for Hazard Category 2 facilities.	OSHS	DSOs	
4.1.1.01	DOE M 411.1-1A	Review and approve the proposed specific requirements to be included in . . . authorization agreements.	OSHS	DSOs	
4.1.1.02	DOE M 411.1-1A	Ensure that the requirements are consistent with budget and policy for each facility.	OB	DSOs OSHS	
4.1.2.01	DOE O 232.1A	Formally request the Secretary of Energy to grant exemptions to the reporting requirements of this Order, after obtaining concurrence from the Office of Environment, Safety and Health.	ASEM	DASS	
4.1.2.02	DOE M 232.1-1A	If deemed necessary, formally request the Secretary of Energy to grant an exemption to the reporting requirements of this Manual, after obtaining concurrence from the Office of Environment, Safety and Health. The Secretarial Officer may grant temporary exemptions to the reporting requirements of this Manual, up to 1 year in duration. The Office of Environment, Safety and Health should be notified prior to approval of the temporary exemption.	ASEM	DSOs OSHS	
4.1.2.03	DOE O 420.1	Cognizant Secretarial Officers or designees for facilities or planned facilities under their programmatic responsibilities . . . shall review and approve requests for exemptions (for fire protection, nuclear safety, criticality safety, natural hazard phenomenon mitigation).	ASEM	DSOs OSHS	
4.1.2.04	DOE O 460.1A	Office of Environmental Management: . . . grant DOE exemptions from the requirements of this Order.	ASEM	OT	
4.1.2.05	DOE O 5480.22	Program Secretarial Officers (PSOs) shall carry out responsibilities for facilities under their program jurisdiction that include, but are not limited to, the following: Grant temporary exemptions for up to one year from the provisions of this Order after notifying the Secretary.	ASEM	DSOs OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.1.2.06	DOE O 5480.22	Request the Secretary grant permanent exemptions from this Order after concurrence from the . . . Assistant Secretary for Environment, Safety and Health. . . as appropriate.	ASEM	DSOs OSHS	
4.1.2.07	DOE O 5480.23	Issue permanent exemptions to the requirements of this Order for nonreactor nuclear facilities under his/her cognizance w hen hazards are of a low magnitude.	ASEM	DSOs OSHS	These permanent exemptions must be formally issued and must include an adequate basis justifying the action to ensure, that w ith proper controls, w orker and public health and safety are not affected by the consequences of any postulated Design Basis Accidents (DBA). These permanent exemptions may be granted by the responsible Secretarial Officer only after obtaining the concurrence of the Office of Environment, Safety and Health. . .
4.1.2.08	DOE O 5480.23	Formally request, after obtaining the concurrence of the Office of Environment, Safety and Health and the Office of Nuclear Energy, the Secretary to grant permanent exemptions to the requirements of this Order for hazard Category 1 and hazard Category 2 facilities under his/her cognizance.	ASEM	DSOs OSHS	
4.1.2.09	DOE O 5480.23	Grant temporary exemptions to the requirements of this Order for any activity under his/her cognizance, up to one year in duration. Prior to approval, EH-1 shall also be notified in a timely manner in order to discharge their assigned responsibilities.	ASEM	DSOs OSHS	
4.1.2.10	DOE O 440.1A	Review and be approving authority for exemptions to requirements contained in this Order. Requests for exemptions to all requirements except those exemptions related to OSHA standards imposed on contractors by this Order may be delegated.	ASEM	DSOs OSHS	
4.1.3.01	DOE M 411.1-1A	Approve requests for exemptions from the requirements of 10 CFR Part 830 as authorized by the provisions of 10 CFR Part 820, Subpart E. This authority may not be delegated.	ASEM	DSOs OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.1.3.02	DOE M 411.1-1A	Review 10 CFR Part 834 or 835 exemption request and provide recommendation on approval to EH. Coordinate review s of proposed exemptions with EH and disposition any comments received.	ASEM	DSOs OSHS	
4.1.4	DOE M 411.1-1A	FEMs in coordination with the appropriate CSOs may find it necessary to pursue exemptions from local, State, or other Federal agencies. Responsibilities and authorities for this function are to be included in the appropriate organization-specific FRA documents.	ASEM	DSOs OSHS	
4.1.5.01	DOE O 5400.1	To the extent that Federal, State, and local law s and regulations allow for an exemption from any standard, . . . Program Senior Officials, as appropriate, are to use applicable administrative and legal procedures to secure approval for any exemption.	ASEM	DSOs OSHS	
4.1.5.02	DOE O 460.1A	Review and process applications for DOT exemptions . . .	OT		
4.1.6	DOE M 411.1-1A	Approve nuclear safety rule implementation plans, programs, and procedures where approval of DOE is required. Respond to FEM or EH comments.	FEM		Approval of implementation plans, programs, and procedures for all existing nuclear safety rules has been delegated. Delegation of approval for implementation plans for impending rules will be one a case-by-case basis: Delegation Memo 3
4.2 Identify Controls to Prevent and Mitigate Hazards					
4.2	DOE M 411.1-1A	Review documentation for controls for selected facilities (e.g., accelerators and other major systems).	DSOs	OSHS	
4.2.01	DOE O 5480.21	Ensure the preparation, review , and approval of contractor documentation implementing the requirements of this Order;	DSOs	OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.2.02	DOE O 5480.21	Actively monitor the Unreviewed Safety Question (USQ) identification, review, and decision making process of DOE Field Offices and contractors under their cognizance to determine whether an incident, analysis, or a proposed change/modification to systems, components, processes, operations, tests, or experiments involves a USQ	DSOs	OSHS	
4.2.03	DOE O 5480.21	Provide direction to field organizations for implementation of the requirements of this Order	ASEM	DSOs OSHS	
4.2.04	DOE O 5480.21	Declare the existence of a USQ, when discovered, and direct the Field Office Manager to curtail or suspend operations, tests, experiments, or actions to implement the proposed changes/modifications pending resolution of the USQ concerns, or take other actions as appropriate to reduce the risk	DSOs	OSHS	
4.2.05	DOE O 5480.21	Assist the contractor or Field Office Manager, when requested, in determining whether an incident, analysis, or proposed change/modification to systems, components, processes, operations, tests, or experiments involves a USQ	DSOs	OSHS	Delegation Memo 10
4.2.06	DOE O 5480.21	Ensure that Program Managers oversee the implementation of changes within the purview of this Order	OSC OPC		
4.2.07	DOE O 5480.21	Establish the authorization level for each facility under their program responsibility.	ASEM		EM satisfied this requirement by issuing Delegation Memo 2
4.2.08	DOE O 5480.21 DOE O 5480.22	Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").	OMI	DSOs	FEM is almost exclusively the procurement request originator; therefore, the FEM typically exercises this authority. No delegation is necessary since these Orders assign the responsibilities to PSO and FEM.
4.2.09	DOE O 5480.22	Require preparation of Technical Safety Requirements for all nuclear facilities, unless for a particular facility, based upon safety analysis, the PSO determines that a TSR would not be appropriate for that particular facility.	FEM		EM satisfied this requirement by issuing Delegation Memo 2

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.2.10	DOE O 5480.22	Issue a directive that shall delineate the flow of TSR or TSR change submittals from the contractor through the line and review, approval, and concurrence responsibilities.	ASEM		EM satisfied this requirement by issuing Delegation Memo 2
4.2.11	DOE O 5480.22	Review and approve schedules for preparing new Technical Safety Requirements in accordance with this Order.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
4.2.12	DOE O 5480.22	Provide guidance and assistance to field organizations in the performance of safety reviews, appraisals, and the preparation of Technical Safety Requirements.	OSHS		Delegation Memo 10
4.2.13	DOE O 5480.22 DOE O 5480.23	Conduct appraisals to assure compliance with these Orders.	DSOs	OSHS	Delegation Memo 10
4.2.14	DOE O 5480.22	Direct the line to transmit the results of the actions taken under subparagraphs (3), (4), (5), and (7) to the responsible program managers and field organizations with any necessary or appropriate instruction as to subsequent action to be taken.	ASEM	DSOs	
4.2.15	DOE O 5480.23	Require that contractors prepare and update Safety Analysis Reports for each nuclear facility and nuclear operations under their jurisdiction (unless exempted) in the concordance with the provisions of this Order.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
4.2.16	DOE O 5480.23	Assure that all commitments made in the approved Safety Analysis Report are carried out by the contractors for the nuclear facilities and nuclear operations.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
4.2.17	DOE O 5480.23	Provide guidance and assistance to field organizations in applying the graded approach for the facility, and the performance of safety reviews, appraisals, etc., to assure contractor compliance with the provisions of DOE Order 5480.23.	DSOs	OSHS	
4.2.18	DOE O 5480.23	Transmit the results of the actions taken above to the responsible program managers and field organizations with a copy to EH depending on the nature of the issue being addressed.	DSOs		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.2.19	DOE O 5480.23	Keep EH advised of nuclear safety or nonnuclear, occupational safety and health problems, deficiencies, needs, and actions taken under DOE Order 5480.23.	OSHS	DSOs	Delegation Memo 10
4.2.20	DOE O 5480.23	Designate in writing the design, construction, or operations contractors that will be responsible for preparing a SAR for each nuclear facility/operation.	FEM		FEM is the contracting officer and is responsible for designating the contractor that prepares the SAR.
4.2.21	DOE O 420.1	Ensure that all programs comply with [criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation] requirements falling within the scope of this Order . . .	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
4.2.22	DOE O 420.1	Review Implementation Plans submitted to implement the Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]	DSOs	OSHS	Delegation Memo 10
4.2.23	DOE O 420.1	Approve Implementation Plans submitted to implement DOE 420.1 [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]	ASEM	OSHS	
4.2.24	DOE O 420.1	Review Implementation Plans submitted to implement the DOE 420.1 [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]	DSOs	OSHS	
4.3 Establish Safety Envelope					
4.3	DOE M 411.1-1A	Approve the safety documentation, authorization bases, specific requirements to be included in contracts, Authorization Agreements for nuclear facilities categorized as Hazard Category 2 or below, accelerators, and non-nuclear facilities.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
4.3.01	DOE O 5480.23	Approve Safety Analysis Reports and revisions thereto for all nuclear facilities.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.3.02	DOE O 5480.22	Approve new Technical Safety Requirements and revisions thereto for all nuclear facilities.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
4.3.03	DOE O 5480.21	Approve changes determined to involve a USQ prior to implementation, and approve operations when a USQ has been determined to exist	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
4.3.04	DOE O 5480.23	Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
4.3.05	DOE M 411.1-1A	Ensure systems are in place for the development and implementation of appropriate authorization protocols, including a protocol for assessment support to the FEM.	DSOs	OSHS	Delegation Memo 10
<u>4.4 Safeguards and Security</u>					
4.4.01	DOE O 470.1	Provide program and project direction consistent with the Safeguards and Security directives and policy requirements.	ASEM	OSHS OMI	OMI involvement if relates to cyber issues
4.4.02	DOE O 470.1	In coordination with the NN-1, ensure adequate protection is afforded safeguards and security interests.	OSHS	OMI	OMI involvement if relates to cyber issues
4.4.03	DOE O 470.1	In coordination with the NN-1, establish action criteria, including curtailment or suspension of operations, for operations that would result in an immediate and unacceptable risk to national security, the health and safety of employees, the public, or the environment.	OSHS		
4.4.04	DOE O 470.1	Coordinate construction or alteration projects of facilities having a safeguards or security interest with the Director of Security Affairs and the Associate Deputy Secretary for Field Management.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.05	DOE O 470.1	Request establishment of safeguards and security activities and facility clearance(s) through the Office of Safeguards and Security. Notify the Office of Safeguards and Security to terminate registration of such activities and facility clearances.	OSHS		
4.4.06	DOE O 470.1	Implement a security program consistent with the Headquarters Security Plan for Washington, D.C. area facilities and programs.	OSHS	OMI	OMI involvement if relates to cyber issues
4.4.07	DOE O 470.1	Approve or disapprove requests for exceptions from Safeguards and Security directives' requirements in accordance with paragraph 4.f(3)(a) to (e).	ASEM	OSHS DSOs	
4.4.08	DOE O 470.1	Ensure that each request for a procurement requiring application of this Order incorporates the requirements specified in the Contractor Requirements Document (Attachment 1).	OSHS		
4.4.09	DOE O 470.1	Designate individual(s) to notify contracting officers of each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").	OSHS		
4.4.10	DOE O 470.1	Ensure the . . . contracting officer provides DOE F 5634.2, "Contract Security Classification Specification," to the servicing safeguards and security office.	OSHS		
4.4.11	DOE O 470.1	Ensure the . . . contract clauses set forth in the DOE Federal Acquisition Regulation and other relevant sections of 48 CFR Chapter IX are included in contracts, as applicable.	OSHS		
4.4.12	DOE O 470.1	Ensure the . . . contracting officers incorporate provisions implementing the requirements of this Order in new and existing contracts that involve access authorizations, classified information, nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat, or Departmental property valued at more than \$5,000,000.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.13	DOE O 470.1	Ensure the . . . contractual coverage is in place to permit implementation of this Order with regard to the contractor's nuclear materials activities before initiation of any action involving nuclear materials with a license-exempt (as defined in 10 CFR Part 50) contractor.	OSHS		
4.4.14	DOE O 470.1	Ensure the . . . Non-DOE funded work under their jurisdiction is provided protection in accordance with the Departmental safeguards, security, and classification policies.	OSHS		
4.4.15	DOE O 470.1	Appoint within their contracting activity a trained DOE employee as the Foreign Ownership, Control, and Influence (FOCI) point-of-contact.	OSHS	OMI	
4.4.16	DOE O 470.1	Ensure that safeguards and security budget proposals are adequate, and that resources are provided to implement them.	OB	DSOs OSHS	
4.4.17	DOE O 470.1	Participate in the development and review of policy and standards for safeguards and security interests.	OSHS	OMI	OMI involvement if relates to cyber issues
4.4.18	DOE O 470.1	Identify technological needs to the Office of Security Affairs for consideration in the safeguards and security technology development program.	OSHS	OMI	OMI involvement if relates to cyber issues
4.4.19	DOE O 470.1	Implement the Classified Visits Program in accordance with Chapter VIII [of this DOE 470.1].	OSHS		
4.4.21	DOE O 470.1	Maintain records of individuals approved by their organizations to have continuing access on the basis of DOE Q and L access authorizations or Department of Defense or National Aeronautics and Space Administration certifications, and notify the Director of Safeguards and Security when such approvals are granted or canceled.	OSHS		
4.4.22	DOE O 470.1	Approve Site Safeguards and Security Plans and annual revisions thereto.	ASEM	OSHS OMI	OMI involvement if relates to cyber issues

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.23	DOE O 231.1	Upon receipt of a draft (S&S) inspection report containing a "marginal" or "unsatisfactory" rating or other finding of noncompliance with requirements or performance weakness, the lead cognizant secretarial officer shall report on corrective actions to the Under Secretary.	ASEM	OSHS	
4.4.24	DOE M 231.1-1	The lead CSO, in coordination with any other involved CSO and with the manager of the field organization, shall notify the Under Secretary of interim corrective actions taken within 15 working days of the receipt of a draft inspection report containing an "unsatisfactory" .	ASEM	OSHS OMI	OMI involvement if relates to cyber issues
4.4.25	DOE M 231.1-1	If the rating indicates a significant vulnerability, the lead CSO shall identify and implement interim corrective actions within 24 hours of receipt of the draft inspection report; within 72 hours of such receipt, the lead CSO shall provide to the Under Secretary for approval a plan for permanent protective measures necessary to reduce the level of risk to an acceptable level, including cost estimate and implementation schedule.	ASEM	OSHS OMI	Ratings that indicate a significant vulnerability may include unacceptable risk in the areas of special nuclear material theft or diversion, radiological or sabotage or espionage. OMI involvement if relates to cyber issues.
4.4.26	DOE M 231.1-1	A copy of each report provided to the Under Secretary shall also be sent to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).	ASEM	OSHS	
4.4.27	DOE M 231.1-1	Marginal Inspection Rating Response Reports. Within 15 working days of receipt of a draft inspection report containing a "marginal" rating, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall report to the Under Secretary the corrective actions taken or to be taken. He/she shall also report any permanent changes necessary to mitigate the identified risk or vulnerability, including implementation schedule and cost estimate. A copy of the report shall be provided to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).	ASEM	OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.28	DOE M 231.1-1	Noncompliance Inspection Finding Response Reports. Within 15 working days of receipt of a draft inspection report containing a finding of noncompliance, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall notify the Under Secretary of steps taken to correct and prevent recurrence of items of noncompliance and performance weaknesses identified in the report. A copy of the notification to the Under Secretary shall be provided to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).	ASEM	OSHS	
4.4.29	DOE O 5632.1C	Ensure protection and control of safeguards and security interests.	OSHS	OMI	OMI involvement if relates to cyber issues.
4.4.30	DOE O 5632.1C	Serve as the primary point of contact with the transportation industry and with Federal, State, and Local agencies in implementing the Department transportation policies and standards for hazardous material, special nuclear material or other classified matter.	OSHS	OT	
4.4.31	DOE O 5633.3B	Provide oversight for the implementation of the material control and accountability of nuclear materials for all DOE activities under their jurisdiction in conformity with policies, procedures, planning and other requirements set forth in the DOE safeguards and security series directives and set policies and requirements for nuclear material not specifically covered.	OSHS		
4.4.32	DOE O 5633.3B	Ensure that responsibilities and authorities for materials control and accountability of nuclear materials are addressed in Memorandums of Agreement and associated appendices between Heads of HQ Elements and Managers of Operations Offices.	OSHS		
4.4.33	DOE O 5633.3B	Ensure that self-assessment offices conduct independent assessments of the adequacy of DOE and contractor performance of their responsibilities for material control and accountability of nuclear materials.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.34	DOE O 5633.3B	Ensure an individual(s) is designated to be responsible for bringing to the attention of the contracting officer each procurement falling w/in the scope of this order	OSHS		
4.4.35	DOE O 472.1B	Ensure that the Personnel Security Assurance Program (PSAP) is implemented for all applicable operations and/or activities for which they have programmatic responsibility.	OSHS		
4.4.36	DOE O 472.1B	Recommend Headquarters positions for inclusion under PSAP when those positions are not identified as PSAP positions under 10 CFR 710.55(a) and (b).	OSHS		
4.4.37	DOE O 472.1B	Submit interim access authorization requests to the Director of Security Affairs, through the Director of Safeguards and Security, in accordance with Chapters I-IX of DOE 5631.2C.	OSHS		
4.4.38	DOE O 472.1B	Determine the access authorization requirement, if any, for each position under their cognizance occupied by a DOE employee, applicant for employment, consultant, or other agency assignee and, when appropriate, ensure that access authorization requirements are stated in position descriptions, vacancy announcements, consultative agreements, and agreements with other agencies that provide for assignees to DOE.	OSHS		
4.4.39	DOE O 472.1B	Ensure that all requests for staff access authorizations are coordinated with their Servicing Personnel Office.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.40	DOE O 472.1B	Approve and transmit directly to the Director of Safeguards and Security for processing, with written justification, access authorization requests (including requests for access authorization reinstatement, extension, or transfer) for the following individuals under their cognizance: (a) employees of other agencies assigned or detailed to DOE, including members of the Armed Forces and/or civilian employees of the Department of Defense (DoD) and the National Aeronautics and Space Administration (NASA); (b) employees, consultants, or agents of DOE contractors and subcontractors; (c) foreign nationals (see Chapters I-IX of DOE 5631.2C); and (d) any other individual who will perform work for, be trained by or represent DOE under any formal agreement, understanding, contract, or treaty.	ASEM	OSHS	
4.4.41	DOE O 472.1B	Provide written verification of the continuing need for access authorizations by individuals under their cognizance when periodically requested to do so by the Director of Safeguards and Security.	OSHS		
4.4.42	DOE O 472.1B	Provide written notification to the Director of Safeguards and Security of the following conditions affecting access authorizations for individuals under their cognizance: (a) within 2 working days for termination of an individual's access authorization; (b) within 8 working hours upon becoming aware that an individual has been hospitalized or is otherwise being treated for a mental illness or such other condition as may cause a significant defect in the individual's judgment or reliability; and (c) within 2 working days of becoming aware of derogatory information of personnel security interest concerning the individual. Such information must be reliable and relevant in terms of the clearance criteria exemplified in 10 CFR 710.8 (a copy of which may be obtained from the Director of Safeguards and Security).	OSHS		
4.4.43	DOE O 472.1B	Ensure that individuals under their cognizance granted, or in process for, access authorizations are aware of the reporting requirements.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.44	DOE O 472.1B	Designate a staff representative(s) responsible for administering the coordinating functions required by, and the review of procurement falling within the scope of, this Order and Chapters I-IX of DOE 5631.2C. Unless a designation is made, procurement originators shall be responsible for coordinating the requirements of this Order and Chapters I-IX of DOE 5631.2C, with the Director of Safeguards and Security.	OSHS		
4.4.45	DOE N 205.1	Assess technology issues, ascertain best security practices, and evaluate the changing nature of threats facing EM organizations and sites.	OMI	OSHS	
4.4.46	DOE N 205.1	Develop, implement, and maintain a Cyber Security Program Plan (CSPP).	OMI	OSHS	
4.4.47	DOE N 205.1	Provide policy and best practice recommendations to the DOE CIO.	OMI	OSHS	
4.4.48	DOE N 205.1	Identify the systems or enclaves that require protection and auditing, and the type of protection and auditing that must be employed.	OMI	OSHS	
4.4.49	DOE N 205.1	Coordinate joint responsive activities to cyber security advisories, bulletins, alerts, and suspected incidents in accordance with the CSPP.	OMI	OSHS	
4.4.50	DOE N 205.1	Ensure all EM organizations and contractors are trained in cyber security vulnerabilities, threats, protection strategies, and respective responsibilities.	OMI	OSHS	
4.4.51	DOE N 205.2	Ensure foreign national access to DOE cyber systems (include computers, networks, and associated servers, as well as data storage, switching, display, and control devices) continues to advance DOE program objectives while enforcing information access restrictions.	OSHS	OMI	
4.4.52	DOE N 205.2	Assess and approve access by foreign nationals to DOE cyber systems.	OSHS	OMI	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.4.53	DOE N 205.2	Periodically audit approvals of foreign nationals to DOE cyber systems.	OSHS	OMI	
4.40	DOE O 470.1	Designate specific facilities where visits may be made only with the approval of the organization having program responsibility, and inform Heads of DOE Elements.	OSHS		
4.5 Emergency Management					
4.5.01	DOE O 151.1	Ensure implementation of policy and requirements for activities conducted by sites/facilities and Operations/Field Offices under their cognizance.	DSOs	OSHS	Delegation Memo 10
4.5.02	DOE O 151.1	Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements.	OSHS		
4.5.03	DOE O 151.1	Ensure funding and resources are adequate for DOE facilities and activities for the continuing and effective implementation of emergency management programs, and that emergency response assets and capabilities are appropriately maintained.	OB	DSOs OSHS	
4.5.04	DOE O 151.1	Develop, in coordination with the Operations/Field Office, the [Director of the Office Field Integration], EH-1, and the Director of Emergency Management contractor performance measures and criteria.	OSHS		
4.5.05	DOE O 151.1	Ensure full coordination with the Director of Emergency Management on all emergency management activities.	OSHS		
4.5.06	DOE O 151.1	Ensure . . . Readiness assurance activities are performed, and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director of Emergency Management.	OSHS		
4.5.07	DOE O 151.1	Ensure . . . A system/program is established and maintained for 24-hour initial receipt and further dissemination of emergency notifications; and a current listing of personnel designated to perform the function is maintained and routinely provided to the Director of Emergency Management.	OSHS	OMI	OMI involvement if relates to cyber issues.

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.5.08	DOE O 151.1	Ensure . . . Specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.	OSHS		
4.5.09	DOE O 151.1	Ensure . . . Training and response is adequate in Operations/Field Office programs.	DSOs	OSHS	
4.5.10	DOE O 151.1	Conduct line management reviews of program-specific emergency management activities in coordination with the Director of Emergency Management.	DSOs	OSHS	Delegation Memo 10
4.5.11	DOE O 151.1	Coordinate with the Assistant Secretary for Congressional, Public and Intergovernmental Affairs, and the Director of Emergency Management to provide for the handling and control of information on emergency situations.	ASEM	OSHS	
<u>4.6 Packaging and Transportation</u>					
4.6.01	DOE O 460.1A	Serve as the Headquarters Certifying Official responsible for administering the DOE program for certification of fissile and Type B packagings.	OT		
4.6.02	DOE O 460.1A	The DOE program for certification of fissile and Type B packagings includes: Establishing packaging standards	OT		
4.6.03	DOE O 460.1A	Provide guidance for the preparation of Safety Analysis Reports for Packaging [for certification of fissile and Type B packagings]	OT		
4.6.04	DOE O 460.1A	Review and approve packaging designs for fissile and Type B packages	OT		
4.6.05	DOE O 460.1A	Issuing DOE Certificates of Compliance to approved designs [for certification of fissile and Type B packagings]	OT		
4.6.06	DOE O 460.1A	Reviewing and recertifying certificates [for certification of fissile and Type B packagings]	OT		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.6.07	DOE O 460.1A	The Safety Analysis Report for Packaging must demonstrate that the package will satisfy the standards of 10 CFR 71 Subparts E and F, the quality assurance program of Subpart H, and any other standards that the Headquarters Certifying Official may determine applicable for granting a Certificate of Compliance	OT		
4.6.08	DOE O 460.1A	Approve DOE contractor facilities for test and evaluation of DOT Specification 7A Type A package designs for radioactive materials.	OT		
4.6.09	DOE O 460.1A	Test and evaluate packagings designed by DOE facilities for use for Type A shipments to DOT Specification 7A Type A performance requirements, and document qualified packagings in the "Test and Evaluation Document for DOT 7A Type A Packaging."	OT		
4.6.10	DOE O 460.1A	Provide the point of coordination for DOE with DOT, NRC, Environmental Protection Agency, International Atomic Energy Agency, and other regulatory agencies concerning domestic and international transportation safety and packaging regulations, packaging certification, and modal safety regulations.	OT		
4.6.11	DOE O 460.1A	Review and process applications for DOT exemptions and exemption renewals, and review and grant DOE from the requirements of this Order.	OT		
4.6.12	DOE O 460.1A	Review requests for DOT Certificates of Competent Authority for international transportation and NRC Certificates of Compliance and forward requests to the appropriate agency.	OT		
4.6.13	DOE O 460.1A	Support the sharing of packaging and transportation safety successes, problems, and corrective actions with other DOE Elements and the field through the use of an effective lessons learned program.	OT		
4.6.14	DOE O 460.1A	Provide technical assistance and training for packaging and transportation safety matters.	OT		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.6.15	DOE O 460.1A	Review the Safety Analysis Reports for Packaging and the applications for DOE Certificate of Compliance for those facilities or activities for which the Secretarial Officer is responsible prior to submittal to the Assistant Secretary for Environment Management.	OT	OMI	
4.6.16	DOE O 460.2	Establishes policy and guidance for DOE materials and packaging management and assists DOE Elements and contractors on related matters.	OT		
4.6.17	DOE O 460.2	Represents DOE in matters dealing with transportation and packaging operations with other Federal entities.	OT		
4.6.18	DOE O 460.2	Coordinates DOE review of, participation in, and comment on international, Federal, State, and local, and tribal transportation and packaging operations regulations.	OT		
4.6.19	DOE O 460.2	Develops and submits petitions for rulemaking actions concerning transportation and packaging operations related matters.	OT		
4.6.21	DOE O 460.2	Develops, implements, and maintains computerized systems to support transportation and packaging management including ATMS, SMAC, and TRANSCOM. Review s and approves requests for use of the TRANSCOM system and for exceptions or alternatives to ATMS/SMAC reporting.	OT	OMI	
4.6.22	DOE O 460.2	Establishes and manages a transportation logistics program that includes the oversight of the DOE Motor Carrier Evaluation Program (MCEP); the negotiation of DOE freight rates and rules; the maintenance of centralized files for MCEP reports, freight rate tenders, and contracts; and interfaces with other Federal and commercial entities on such matters as bill-of-lading audits, requests for military transportation services or equipment, and availability of commercial transport equipment to meet programmatic requirements.	OT	OMI	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.6.22	DOE O 460.2	Develops and provides initial and recurrent training on domestic and international transportation and packaging regulations, carrier and carrier association rules, and implementing DOE Orders.	OT		
4.6.23	DOE O 460.2	Review s supporting documentation for explosives classification and files the applications w ith DOT for registration.	OT		
4.6.24	DOE O 460.2	Conducts technical assessments of DOE Field Elements, including related contractors, and as needed, provides assistance in transportation and packaging management activities to ensure compliance w ith applicable requirements.	OT		
4.6.25	DOE O 460.2	Conducts formal needs assessments involving DOE Field Elements and contractors to identify and prioritize emerging transportation and packaging needs.	OT		
4.6.26	DOE O 460.2	Develops and maintains a catalog of packagings used including ow ner, available inventory, operating and maintenance instructions, and approved contents.	OT		
4.6.27	DOE O 460.2	Serves as a clearinghouse for redeployment of current, programmatically excess, and decertified packagings.	OT		
4.6.28	DOE O 460.2	Prepares and maintains the DOE's annual Packaging Management Plan and Transportation and Packaging Research and Development Plan, w ith input on objectives, schedules, roles and responsibilities, and funding sources from all DOE program elements.	OT		
4.6.29	DOE O 460.2	Ensure that DOE Field Elements and contractors under their purview , involved in performing or managing transportation and packaging, fully implement and comply w ith the requirements of this Order.	DSOs	OT	Delegation Memo 10
4.6.30	DOE O 460.2	Coordinate program-related transportation plans, proposed transportation computerized systems, transportation systems studies, and packaging development activities; training requirements, reports, and analyses w ith EM-1 to ensure consistency of policy and avoid duplication of efforts.	OT	OMI	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.6.31	DOE O 460.2	Designate an individual(s) cognizant of program plans and requirements to serve as the point of contact for transportation and packaging interface(s) and integration of transportation and packaging activities into program planning.	OT		
4.6.32	DOE O 460.2	Conduct program reviews of transportation and packaging development activities under their purview and participate in the development of the Department's Packaging Management and Transportation Research and Development Plans and Technical Review Board to ensure program needs are being addressed.	DSOs	OT	Delegation Memo 10
<u>4.7 Waste Management</u>					
4.7.01	DOE O 435.1	Program Secretarial Officers with radioactive waste management facilities, operations, or activities are responsible within their respective programs for ensuring that the Field Element Managers meet the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual.	DSOs	OTPI	
4.7.02	DOE O 435.1	Establish and maintain integrated Complex-Wide Radioactive Waste Management Programs for high-level, transuranic, low-level, and mixed low-level waste. These programs shall use a systematic approach to planning, execution, and evaluation to ensure that waste generation, storage, treatment, and disposal needs are met and coordinated across the DOE complex.	ASEM	OTPI	
4.7.03	DOE O 435.1	Ensure changes to regulations and DOE directives are reviewed and, when necessary, incorporated into revisions of this Manual to ensure the basis for safe radioactive waste management facilities, operations, and activities is maintained.	OTPI		
4.7.04	DOE O 435.1	Develop, implement, and maintain integrated Complex-Wide Radioactive Waste Management Program Plans for high-level, transuranic, low-level, and mixed low-level waste. Each plan shall, at the DOE complex-wide level, describe the functional elements, organizations, responsibilities, and activities that comprise the system needed to store, treat and dispose of radioactive waste in a manner that is protective of the public, workers, and the environment.	OTPI		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.7.05	DOE O 435.1	Plans shall present a waste management strategy that integrates waste projections and life-cycle waste management planning into complex-wide facility configuration decisions and describe the approach to research and technology development being pursued to improve safety and/or efficiency in managing radioactive waste.	OTPI		
4.7.06	DOE O 435.1	Establishing and maintaining a system to compile waste generation projection data and other information concerning radioactive waste management facilities, operations, and activities across the complex.	OTPI	OMI	
4.7.07	DOE O 435.1	Review and approve, along with EH-1, transuranic waste disposal facility performance assessments and other disposal documents as required in waste specific chapters for which DOE is responsible for making compliance determinations. Review and approve performance assessments and composite analyses, or appropriate CERCLA documentation, for low-level waste disposal facilities, and issuing disposal authorization statements.	OSC OPC		EPA is responsible for review and approval of Performance Assessments for WIPP
4.7.08	DOE O 435.1	Establish a review panel consisting of DOE personnel to review low-level waste disposal facility performance assessments and composite analyses, review appropriate CERCLA documentation, recommend low-level waste disposal facility compliance determinations . . . , and develop disposal authorization statements.	OSC OPC		
4.7.09	DOE O 435.1	Issue disposal authorization statements containing conditions that low-level waste disposal facilities must meet in order to operate with an approved radioactive waste management basis	OSC OPC		
4.7.10	DOE O 435.1	Review and approve closure plans and other closure documentation for deactivated high-level waste facilities/sites and issuing authorization for closure activities to proceed.	OSC OPC		

4.8 Environmental Restoration

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

4 Develop and Implement Controls					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
4.8.01	DOE/EM-1 Memo	Approve new cleanup agreements or significant modifications of existing agreements, unless otherwise delegated to FEM	ASEM		Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for EM: Delegation Memo 8
4.8.02	DOE/EM-1 Memo	Concur on new cleanup agreements or significant modifications of existing agreements	DSOs OIPA	OB	Delegation Memo 8
4.8.03	DOE/EM-1 Memo	In consultation with GC-51, determine if a cleanup or compliance agreement modification is significant	DSOs OIPA	OB	Delegation Memo 8
4.8.04	DOE/EM-1 Memo	Monitor Field performance in complying with cleanup or compliance agreement	DSOs		Delegation Memo 8
4.8.05	DOE/EM-1 Memo	Determine, in consultation with GC-51, the extent of HQ involvement in resolving issues leading to NOV's	DSOs	OIPA	Delegation Memo 8
4.8.06	DOE/EM-1 Memo	Track the status of agreement and agreement modification negotiations	OIPA		Delegation Memo 8
4.8.07	DOE/EM-1 Memo	Prepare quarterly "Environmental Compliance Agreement/Negotiation in Progress" table for EM-1	OIPA		Delegation Memo 8

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.1 Confirm Readiness					
5.1	DOE M 411.1-1A	Shut down work . . . if a clear and present safety danger exists	ASEM	DSOs OSHS	
5.1.01	DOE O 425.1A	Determine (and ensure that contractor management determines) if Operational Readiness Reviews are required for startup of new nuclear facilities or restart of a nuclear facility using the requirements given below .	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.02	DOE O 425.1A	For initial startups of new hazard category 3 nuclear facilities, the Secretarial Officer (or designee) shall approve startup. If other DOE Orders require a higher level of startup authorization than this Order, the official described in this Order will recommend startup to the higher level official.	FEM		Delegated to the FEM, Delegation Memo 2
5.1.03	DOE O 425.1A	For shutdowns directed by a DOE management official for safety or other appropriate reasons, authorization to restart shall be granted by an official of a level commensurate with the official ordering the shutdown unless a higher level is designated by the Secretarial Officer.	ASEM FEM		ASEM or FEM depending on which shutdown in the facility
5.1.04	DOE O 425.1A	For extended shutdowns of hazard category 1 nuclear facilities the Secretarial Officer shall approve restart. For extended shutdowns of hazard category 2 nuclear facilities, the Secretarial Officer (or designee) shall approve restart.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
5.1.05	DOE O 425.1A	For shutdowns because of substantial plant or facility modifications of hazard category 1 nuclear facilities that require changes in the safety basis previously approved by DOE, the Secretarial Officer shall approve restart. For such shutdowns of hazard category 2 nuclear facilities, the Secretarial Officer (or designee) shall approve restart.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
5.1.06	DOE O 425.1A	For facility shutdowns due to operations outside the safety basis, the official approving restart shall be commensurate with the approval authority for the safety basis. If the safety basis was approved by a Headquarters official, the Secretarial Office (or designee) shall approve restart.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.1.07	DOE O 425.1A	For startups or restarts of nuclear facilities for which Operational Readiness Reviews were required as a result of a DOE official deeming it appropriate, the official approving startup or restart shall be of a level commensurate with the official directing the review. If a Headquarters official directed an Operational Readiness Review be performed, the Secretarial Officer (or designee) shall approve the startup or restart.	FEM		Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2
5.1.08	DOE O 425.1A	For Operational Readiness Reviews, DOE line management shall require contractors to prepare the following documents: startup/restart notification reports, plans-of-action, Operational Readiness Review Implementation Plans, and final reports. DOE line management shall prepare its plans-of-action, and ensure the ORR team leaders prepare Operational Readiness Review Implementation Plans, and final reports. The resolution of all findings from the Operational Readiness Reviews shall be documented and maintained with the plans-of-action, Implementation Plans, and final reports.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.09	DOE O 425.1A	Develop (and ensure the contractor develops) the breadth of the Operational Readiness Review and documents it in each plan-of-action	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.10	DOE O 425.1A	Ensure the contractor's plan-of-action specifies the prerequisites for starting the responsible contractor's Operational Readiness Review; the prerequisites shall address each core requirement of section determined to be applicable when developing the scope of the Operational Readiness Review.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.11	DOE O 425.1A	Appoint (and ensure that contractor management appoints) Operational Readiness Review teams in accordance with . . . qualifications and training requirements [listed in this Order].	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.1.12	DOE O 425.1A	Require that the DOE Operational Readiness Review team determines (and ensures that the contractor's Operational Readiness Review team determines) the criteria and review approaches to be used for their review based on the approved breadth given in their plan-of-action and documents the criteria and review approaches in their Operational Readiness Review Implementation Plan.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.13	DOE O 425.1A	Upon completion of the contractor or DOE Operational Readiness Review, DOE line management shall ensure a final report is prepared and approved by the Operational Readiness Review team leader.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.14	DOE O 425.1A	Ensure the contractor has satisfactorily resolved all prestart findings of the DOE Operational Readiness Review prior to startup or restart of the facility.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.1.15	DOE O 425.1A	Exercise the delegation authority and document all delegations of authority made under the provisions granted by this Order.	ASEM		Satisfied by Delegation Memo 2
<u>5.2 Perform Work Safely</u>					
5.2	DOE M 411.1-1A	Ensure implementation of safety management systems, Facility Representative programs, and performance measures to ensure adequate protection of the worker, public, and the environment, and that adequate resources are allocated.	DSOs		Delegation Memo 10
5.2.02	Title 29 CFR 1960	Employees who exercise supervisory functions shall, to the extent of their authority, furnish employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause death or serious physical harm.	DASS ODs		All EM Supervisors
5.2.03	Title 29 CFR 1960	Employees who exercise supervisory functions shall also comply with the occupational safety and health standards applicable to their agency and with all rules, regulations and orders issued by the head of the agency with respect to the agency occupational safety and health program.	DASS ODs		All EM Supervisors

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.2.04	DOE O 440.1A	Ensure that program-specific worker protection goals and objectives are developed and resources are provided.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.05	DOE O 440.1A	Ensure that worker protection policies and requirements are effectively implemented.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.06	DOE O 440.1A	Develop or participate in recognition programs that encourage the improvement of worker protection programs.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.07	DOE O 440.1A	When contractors report directly to EM-1, ensure that the responsibilities of paragraph 5b (and applicable responsibilities in the specific functional areas contained in Attachment 1) and the requirements of the CRD (Attachment 2) are implemented.	ASEM		Not Applicable: There are currently no cases where contractors doing hazardous work report directly to the EM Program Office
5.2.08	DOE O 440.1A	Assist in the resolution of significant worker protection issues and the improvement in cost effectiveness and efficiency of worker protection programs.	ASEM	OSHS	
5.2.14	DOE N 440.1	Require initiators of procurement requests to identify in those requests whether the CRD for this Notice applies to contractors (and subcontractors thereunder), and also identify any special instructions for the application of the CRD.	FEM		Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting officer for EM work; therefore, these responsibilities are carried out by the FEM.
5.2.15	DOE N 440.1	Within 90 days after the effective date of this Notice, initiate negotiations for application of the CRD for this Notice to existing contracts (and subcontracts thereunder)	FEM		Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting officer for EM work; therefore, these responsibilities are carried out by the FEM.

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.2.16	DOE N 440.1	Require that contractors submit CBDPPs to their DOE Field Organizations for review and have approved CBDPPs within 6 months after the effective date of this Notice.	FEM		Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting officer for EM work; therefore, these responsibilities are carried out by the FEM.
5.2.17	DOE N 440.1	Review and approve all contractor CBDPPs.	FEM		Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting officer for EM work; therefore, these responsibilities are carried out by the FEM.
5.2.18	DOE N 440.1	Modify the requirements of this Notice for a contractor or subcontractor when necessary to accommodate the obligations of a contractor whose employees are represented for collective bargaining purposes by a labor organization consistent with the requirements of the National Labor Relations Act.	FEM		Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting officer for EM work; therefore, these responsibilities are carried out by the FEM.
5.2.19	Title 10 CFR 835	Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.	FEM		Delegated to the FEMs under specified constraints: Delegation Memo 3
5.2.20	Title 10 CFR 835	Ensure that no DOE personnel take or cause to be taken any action inconsistent with 10 CFR 835 or any plan, program, schedule or other process established by 10 CFR 835.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.2.21	Title 10 CFR 835	A planned special exposure may be authorized for a radiological worker to receive doses in addition to and accounted for separately from the doses received under the limits specified in § 835.202(a), provided that each of the following conditions is satisfied: . . . (3) Joint written approval from the appropriate DOE Headquarters program office and the Assistant Secretary for Environment, Safety and Health is received.	ASEM	OSHS	
5.2.22	DOE N 441.1	Authorize exposures that exceed administrative control levels stated in paragraph 6a(1)	ASEM	OSHS	DOE N 441.4 extends DOE N 441.1, RADIOLOGICAL PROTECTION FOR DOE ACTIVITIES, dated 9-30-95 until 6-30-00. The amendment to title 10, Code of Federal Regulations, part 835 (10 CFR 835) is expected to be published in the Federal Register before the end of November 1998. Full compliance with the amended version is not required until 19 months after publication
5.2.23	DOE O 5400.5	Implement DOE public and environmental radiation protection policy and requirements in their respective programs	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.24	DOE O 5480.19	Provide direction to field elements for the conduct of operations for facilities under their cognizance	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.25	DOE O 5480.19	Ensure the preparation, review, and approval of contractor documentation implementing the requirements of DOE 5480.19 for programs under their cognizance.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
5.2.26	DOE O 5480.19	Ensure that Program Managers oversee the conduct of operations at those facilities under their cognizance, in accordance with the requirements of DOE 5480.19.	DSOs	OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.2.27	DOE O 4330.4B	Ensure that the requirements of this Order are implemented and . . . take all necessary actions to execute programs ensuring that DOE property is maintained to support short-term and long-term goals and missions.	DSOs		
5.2.28	DOE O 4330.4B	Ensure that resources are provided to keep property maintained in a reasonable and economic manner and to ensure that the maintenance backlog remains consistent with DOE goals and objectives.	OB	DSOs	
5.2.29	DOE O 4330.4B	Ensure that alternate methods are utilized to comply with the intent of DOE 4330.4B where program activities preclude implementation of specifically stated maintenance requirements.	DSOs		
5.2.30	DOE O 4330.4B	Make determinations and resolve maintenance issues where conflicting programmatic requirements or other issues cannot otherwise be resolved at lower organizational levels.	ASEM	DSOs	Conflicting program direction resolved by the Field Management Council
5.2.31	DOE O 4330.4B	Provide guidance on matters concerning incorporation of maintenance activities in annual budget requests.	OB	DSOs	
5.3 Quality Assurance					
5.3	DOE M 411.1-1A	Ensure implementation of quality assurance programs, continuous improvement, and provision of adequate resources.	DASs ODs		
5.3.01	Title 10 CFR 830	Review , comment on and/or approve contractor Quality Assurance Programs (QAPs) and Implementation Plans (IPs) for 10 CFR 830.120 within 180 days after submittal to DOE.	FEM		Delegated to the FEMs under specified constraints: Delegation Memo 3
5.3.02	DOE O 414.1A	Ensure that Headquarters . . . Implement[s] this Order in an integrated manner and coordinate the resolution of quality issues among these organizations.	DASs ODs		
5.3.03	DOE O 414.1A	Ensure that . . . Field Elements . . . and contractors implement this Order in an integrated manner and coordinate the resolution of quality issues among these organizations.	DSOs	OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

5 Perform Work					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
5.3.04	DOE O 414.1A	Develop, approve, and implement a QAP governing the work of their organizations in accordance with the requirements of Paragraph 4, as applicable. Identify the senior management position specifically assigned this responsibility.	DASs		
5.3.05	DOE O 414.1A	Provide direction and resources for implementing the requirements for work within their purview.	DASs		
5.3.06	DOE O 414.1A	Review and concur with Field Element QAPs.	DSOs	OSHS	
5.3.07	DOE O 414.1A	Review and approve contractor new and revised QAPs within their purview or delegate this authority to the relevant Field Element manager. QAPs must be reviewed and approved—or rejected—within 90 days of receipt.	FEM		Delegation Memo 6
5.3.08	DOE O 414.1A	Perform management and independent assessments to evaluate the adequacy and implementation of their Headquarters element QAP and to improve organizational performance.	OSHS		
5.3.09	DOE O 414.1A	Designate individual(s) to be responsible for bringing the following to the attention of the appropriate Contracting Officer: (a) each procurement requiring application of the CRD (Attachment 1) and 10 CFR 830.120, where applicable, (b) requirements for flow down of provisions of the CRD to any subcontract or sub-award, and (c) the provisions of the CRD with which the contractor or subcontractor is to comply.	OSHS		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.1 Lessons Learned Program					
6.1	DOE M 411.1-1A	Collect information for use in the lessons learned program from the performance of assessments of the contractor and field element operations.	DSOs	OSHS	Delegation Memo 10
6.1	DOE M 411.1-1A	Remain cognizant of information likely to be useful in improving the performance of the programs under the office's direction.	DSOs		Delegation Memo 10
6.1	DOE M 411.1-1A	Implement a lessons-learned program . . .	OSHS		OSHS is responsible for dissemination of Lessons Learned for ES&H
6.1.01	DOE O 210.1	Establish a program that identifies, gathers, verifies, analyzes, trends, disseminates, and makes use of ES&H performance indicators to improve the performance of DOE facilities, programs, and organizations.	DSOs	OSHS	Delegation Memo 10
6.1.02	DOE O 210.1	Gather, verify, analyze, trend, and disseminate ES&H performance indicator data, including narrative data, which can help assess performance; where appropriate, perform root cause analyses.	DSOs	OSHS	Delegation Memo 10
6.1.03	DOE O 210.1	Implement feedback mechanisms for identification and communication of ES&H good practices, lessons learned, and corrective actions.	DSOs	OSHS	Delegation Memo 10
6.1.04	DOE O 210.1	Maintain a management information system containing appropriate ES&H performance indicator data for historical reference.	DSOs	OSHS OMI	Delegation Memo 10
6.1.05	DOE O 210.1	Periodically assess ES&H performance indicator programs to verify that indicators are accurately measuring performance and are resulting in improved performance.	DSOs	OSHS	Delegation Memo 10
6.1.06	DOE O 210.1	Use analytical ES&H data to base decisions, establish goals, identify performance trends, provide early identification of potential problems, and apply lessons learned and good practices.	DSOs	OSHS	Delegation Memo 10

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.1.07	DOE O 210.1	Develop incentives to encourage contractors in the achievement of desired levels of ES&H performance in critical areas through the use of ES&H performance indicators.	FEM	DSOs	The contracting officer (FEM) is responsible for developing specific ES&H incentives for their contractors. EM HQ provides policy, guidance, and review s specific incentives.
6.1.08	DOE O 442.1	Designate the management position or positions responsible for developing and implementing the Employee Concerns Program (ECP).	ASEM		
6.1.09	DOE O 442.1	Direct the ECP and provide adequate resources and training for effective implementation.	OMI		
6.1.10	DOE O 442.1	Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.	OMI		
6.1.11	DOE O 442.1	Develop and submit ECP program implementation documentation to the Secretarial Officer . . . for approval.	OMI		
6.1.12	DOE O 442.1	Implement the approved ECP and ensure concerns are processed as required by this Order.	OMI		
6.1.13	DOE O 442.1	Publicize ECP processes, employee rights and responsibilities to report concerns through these processes, and management's intolerance for reprisals against employees w ho have reported concerns.	OMI		
6.1.14	DOE O 442.1	Maintain an employee concerns tracking system and a secure filing system.	OMI		
6.1.15	DOE O 442.1	Decide w hich concerns that are brought to the attention of the ECP. The ECP office should seek to resolve, w hich w arrant referral or transfer to another office for further review , or w hich w arrant no further action.	OMI		
6.1.16	DOE O 442.1	Assist in evaluation and resolution of employee concerns.	OMI		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.1.17	DOE O 442.1	Transfer concerns to other programs or processes if the concern is deemed to be outside the scope of the ECP. Review and evaluate responses from other organizations to which concerns were referred, request further action when necessary and provide feedback to those organizations that have a need to know about the outcome of the ECP process.	OMI		
6.1.18	DOE O 442.1	Document that an individual, office, or organization has accepted responsibility for minimizing, correcting, and preventing recurrence of concerns that have been substantiated through the ECP process.	OMI		
6.1.19	DOE O 442.1	Prepare quarterly and annual reports and review them for lessons learned and possible adverse trends.	OMI		
6.1.20	DOE O 442.1	Use self-assessment or outside review to conduct management assessments of their ECPs. Assess the results with the Headquarters or field element manager, and take any necessary actions to improve program operations.	OMI		
6.1.21	DOE O 442.1	Coordinate with DOE contracting officers to determine the existence of contract requirements for the establishment of contractor ECPs and the means and criteria by which such contractor ECPs will be evaluated.	OMI		
6.1.22	DOE O 442.1	Advise appropriate levels of management when actions are either ineffective or not timely in resolving concerns or correcting identified deficiencies.	OMI		
<u>6.2 Occurrence Reporting and Processing System</u>					
6.2	DOE M 411.1-1A	Establish agreements concerning corrective actions with FEMs	ASEM	DSOs OSHS	
6.2.01	DOE M 232.1-1A	Delegate responsibilities and authority for implementing this Manual, to include designation of Program Managers.	ASEM		This requirement is fulfilled by the EM FRAM, the administrative instrument for delegating authority within EM. Delegations to the Field are in defined in Delegation Memo 7

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.2.02	DOE M 232.1-1A	Ensure that the requirements in the Contractor Requirements Document for DOE O 232.1A are applied to applicable contracts within three months after approval of this Order.	FEM		The contracting officer (FEM) is responsible ensuring the ORPS CRD is included in contracts.
6.2.02	DOE M 411.1-1A	Approve corrective actions proposed [for occurrence reports] or delegate this authority	OSC OPC	DSOs OSHS	
6.2.03	DOE M 232.1-1A	Review Occurrence Reports for indications of deteriorating or poor program performance in their respective areas of authority	DSOs	OSHS	Delegation Memo 10
6.2.04	DOE O 232.1A	For facilities under their cognizance, review activities relating to occurrence reporting to ensure that facility personnel implement a program compatible with this Order and that lessons learned and generic or programmatic implication are identified and elevated to the Secretarial Officer for appropriate action.	DSOs	OSHS	Delegation Memo 10
6.2.05	DOE M 232.1-1A	Delegate responsibilities and authority for implementing this Manual, to include designation of Program Managers.	ASEM		This requirement is fulfilled by the EM FRAM, the administrative instrument for delegating authority within EM.
6.2.06	DOE M 232.1-1A	Review and approve the Facility/Site Implementation Procedure after coordination with the Office of Environment, Safety and Health. Provide a copy of the implementing procedure to EH-33 upon approval	ASEM FEM	DSOs OSHS	After initial approval by EM Headquarters, all further approvals of changes are made by the FEM.
6.2.07	DOE M 232.1-1A	Establish agreements with Heads of Field Elements to ensure support to the DOE Facility Representative and Program Manager(s) in accordance with this Manual.	ASEM		
6.2.08	DOE M 232.1-1A	If deemed appropriate, delegate authority for initiating Roll-Up Reports and approval of Final "Off-Normal" Occurrence Reports from the cognizant Program Manager to the cognizant DOE Facility Representative.	FEM		Delegation Memo 7
6.2.09	DOE M 232.1-1A	Ensure training programs are established for both DOE and contractor personnel.	OMI		

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.2.10	DOE M 232.1-1A	Ensure initiators of procurement requests identify in procurement requests whether the requirements in the Contractor Requirements Document for DOE O 232.1A are to be applied to the award or sub-awards resulting from the procurement request and any special instructions for the application of the Contractor Requirements Document	FEM		The contracting officer (FEM) is responsible ensuring the ORPS CRD is included in contracts.
6.2.11	DOE M 232.1-1A	Review Activities relating to reportable occurrence, including reporting and development of programs and procedures.	DSOs	OSHS	Delegation Memo 10
6.2.12	DOE M 232.1-1A	Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.	DSOs		
6.2.13	DOE M 232.1-1A	Ensure that the Headquarters Emergency Operations Center is informed of how the Program Manager or Designees can be reached at all times.	OSC OPC	DSOs	
6.2.14	DOE M 232.1-1A	Ensure that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action	OSC OPC		Delegation Memo 10
6.2.15	DOE M 232.1-1A	Ensure that actions are taken to minimize or prevent recurrence	DSOs		
6.2.16	DOE M 232.1-1A	Review and assess reportable occurrence information from facilities under their cognizance to assess significance, root cause, generic implications, and the need for corrective action, and to ensure that DOE and contractor staff involved in these operations perform the related functions.	DSOs		Delegation Memo 10
6.2.17	DOE M 232.1-1A	Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.	OSHS		Delegation Memo 9
6.2.18	DOE M 232.1-1A	Ensure that Occurrence Reports are prepared and transmitted in accordance with DOE security requirements	OSHS		
6.2.19	DOE M 232.1-1A	Notify the CSO of all Unusual Occurrences.	DASs	DSOs	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.2.20	DOE M 232.1-1A	Interact with the Facility Representative and HQ oversight organizations as necessary, and inform and advise their respective management of their findings.	DSOs		
6.2.21	DOE M 232.1-1A	Elevate any unresolved issues regarding actions or determinations on reportable occurrence to the Secretarial Officer and, if necessary, the Secretary for resolution and direction.	DASs	DSOs	
6.2.22	DOE M 232.1-1A	The Program Manager shall review, approve, and add any comments to the Final Report within 14 calendar days after receipt.	DSOs	OSHS	Approval authority for Off-Normal Occurrence Reports has been delegated to the FEM. Approval of Unusual Occurrence Reports is retained by Headquarters
6.3 Environment, Safety and Health Reporting					
6.3.01	DOE O 231.1	Meet the reporting requirements in DOE M 231.1-1, Chapters II and III	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.02	DOE O 231.1	Report work-related fatalities, injuries, and illnesses occurring among DOE and contractor employees arising out of work performed at DOE-owned or -leased facilities in accordance with DOE M 231.1-1, Chapter II, paragraph 2a.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.03	DOE O 231.1	Report interim exposure data reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 1 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Report work-related ionizing radiation exposure data pertaining to an individual who visits a DOE or DOE contractor site or facility to the Radiation Records Repository, to the individual's employer, and to that individual.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.04	DOE O 231.1	Report annual exposure data in accordance with DOE M 231.1-1, Chapter III, paragraphs 2 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") DOE facility directors shall report ionizing radiation exposure data summaries to the Radiation Records Repository for each monitored person.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.3.05	DOE O 231.1	Submit radiological exposure reports to individuals in accordance with DOE M 231.1-1, Chapter III, paragraph 4. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Radiological exposure data pertaining to a visit to a DOE or DOE contractor site by an individual shall be provided as a report to that individual.	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.06	DOE O 231.1	Submit epidemiological analyses -- Excess Injuries and Illnesses in accordance with DOE M 231.1-1, Chapter II, paragraph 4. Notify the Assistant Secretary for Environment, Safety and Health of suspected excesses of illnesses or injuries that require epidemiological analyses to determine if the excesses are work related	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.07	DOE O 231.1	Submit OSH information in support of epidemiological studies conducted by external organizations in accordance with DOE M 231.1-1, Chapter II, paragraph 5. Submit OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies	FEM		Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1
6.3.08	DOE O 231.1	Report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision	OIPA		
6.3.09	DOE O 231.1	Prepare an annual National Environmental Policy Act planning summary	OIPA		
6.4 Assessments					
6.4.01	DOE M 411.1-1A	Assess their own organization [EM] to identify areas in which continuous improvement in the safety of DOE operations can be realized.	ASEM DASs	OSHS	Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field
6.4.02	DOE M 411.1-1A	Assign responsibility within the element for establishing criteria for such assessments and for conducting them.	ASEM DASs	OSHS	Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement						
ID	Directive	Responsibility	Lead Role		Support Role	Notes
6.4.03	DOE M 411.1-1A	Examine the findings of both internal and external assessments of their element to identify root causes and necessary corrective actions w ithin the responsibility of their element.	ASEM	DASs	OSHS	Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field
6.4.04	DOE M 411.1-1A	Submit all assessment findings and their corrective actions to the process implementing paragraph 9.6.2, "Make Changes to Improve."	ASEM	DASs	OSHS	Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field
6.4.05	DOE M 411.1-1A	Ensure that all currently applicable safety requirements are captured in the organization's FRA document, and are consistent w ith other FRA documents of other organizations w ith w hich there are interfaces.	ASEM	DASs	OSHS	Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field
6.4.06	DOE M 411.1-1A	As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. Where this review finds insufficient safety significance to justify corrective efforts, report the results of the review to the assessing organization.	DSOs		OSHS OB	Delegation Memo 10
6.5 Accident Investigation						
6.5	DOE M 411.1-1A	In the event of a serious accident that results in life-threatening injuries or major environmental contamination, the appropriate PSOs are to meet w ith the Secretary, Deputy Secretary and Under Secretary to thoroughly review the causes of the event, corrective action plans and the effectiveness of the integrated safety management at the site at w hich the event occurred.	ASEM		DSOs OSHS	
6.5.01	DOE O 225.1	Cooperate w ith the Board during the investigation.	DSOs			
6.5.02	DOE O 225.1	Review draft Type A and Type B investigation reports for factual accuracy w ithin the time frame allow ed for the investigation.	DSOs			Delegation Memo 10
6.5.03	DOE O 225.1	Approve corrective action plans resulting from Type A and B investigations for satisfaction of judgments of need identified by the Board.	ASEM		DSOs OSHS	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
<u>6.6 Make Changes to Improve</u>					
6.6.01	DOE M 411.1-1A	Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned.	ASEM	DSOs OSHS	
6.6.02	DOE M 411.1-1A	Develop and maintain a process to ensure that corrective actions are planned and pursued to completion and adequately correct the root causes of the conditions that prompted them. When correction cannot be achieved, resolution is to be referred to a higher DOE element. (For those corrective actions occasioned by EH-2 assessment reports, see 9.6.1 and 9.6.1.4)	ASEM	DSOs OSHS	
<u>6.7 Line Management Oversight</u>					
6.7	DOE M 411.1-1A	Monitor field element and contractor performance through the review of information provided by the field elements, EH, and external organizations. When appropriate, participate in field element appraisals. Conduct on-site review s of field element performance, including verification of their appraisals of the contractor.	DSOs		Delegation Memo 10
6.7.01	DOE M 411.1-1A	Monitor the FEM oversight of the contractor's controls processes.	DSOs	OSHS	Delegation Memo 10
6.7.02	DOE P 450.5	Headquarters' line managers coordinate their oversight functions w ith field elements through the designated landlord for each site.	DSOs		Delegation Memo 10
6.7.03	DOE P 450.5	Monitor field element and contractor performance through the review of information provided by field elements, contractors, EH, and external organizations, such as the Defense Nuclear Facilities Safety Board.	DSOs		Delegation Memo 10
6.7.04	DOE P 450.5	When appropriate, participate in field element appraisals, assessments, surveillances, and w alkthroughs of contractor facilities and activities.	DSOs		Delegation Memo 10
6.7.05	DOE P 450.5	Conduct onsite review s of field element performance, including verification of their appraisals of the contractor, as necessary.	DSOs		Delegation Memo 10

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.7.06	DOE P 450.5	[Conduct] for cause review s, as necessary.	DSOs		Delegation Memo 10
6.7.07	DOE O 430.1A	Leads in verifying that program objectives are met and is accountable to the Secretary for program direction and execution through the field element.	ASEM	DSOs	
6.7.08	DOE O 430.1A	Conduct review s of field element performance, including design, scope, and cost peer review s for program elements under their programmatic authority	DSOs		
6.7.09	DOE O 430.1A	Lead oversight of Field Elements to ensure that performance criteria and measures are in place to effectively achieve program and project objectives related to the Program Office's programmatic authority.	DSOs		
6.7.10	DOE O 430.1A	Support the [Office of Field Integration] in verifying that Field Elements have asset management performance criteria and measures in place to effectively oversee nonprogrammatic facilities.	DSOs		
6.7.11	DOE O 430.1A	Lead review s of Field Elements infrastructure activities, in coordination w ith the Program Offices and the [Office of Field Integration].	DSOs		
6.8 EH Oversight					
6.8	DOE M 411.1-1A	LPSO, PSO and FEM: When disputes arise, such as those related to the timeliness or adequacy of CAPs or their implementation, elevate them in a step-w ise manner through the management hierarchy via a deliberate and timely dispute resolution process that provides each party w ith equal opportunity for input, and a subsequent opportunity to appeal decisions to the next higher management level, if necessary.	ASEM	DSOs	
6.8.01	DOE M 411.1-1A	Approve CAPs w ithin 60 days of the issuance of the formal independent oversight assessment report.	ASEM	DSOs	

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.8.02	DOE M 411.1-1A	Provide an opportunity for the Department's Chief Operating Officer (COO) or designee to be briefed by the FEM, the Office of Oversight, and the Assistant Secretary for Environment, Safety and Health on the related issues, the CAP, and any associated resource issues.	ASEM	DSOs	
6.8.03	DOE O 411.1A	Prepare a CAP to address safety issues (i.e., quality problems) identified by the Office of Oversight reports.	ASEM		Where EH report specifically identifies issues related to EM Headquarters, the ASEM will assign an appropriate Senior EM Manager(s) to prepare CAP.
6.8.04	DOE O 414.1A	Approve the CAP within 60 days of the issuance of the formal independent oversight assessment report. The PSO may delegate this authority to the CLM or other designee. The PSO has the ultimate approval authority for CAPs.	ASEM	OSHS	ASEM will delegate approval authority on a case-by-case basis
6.8.05	DOE O 414.1A	[For CAPs issued pursuant to EH-2 findings] provide an opportunity for the Deputy Secretary or designee to be briefed by the Cognizant Line Manager, the Office of Oversight, and the Assistant Secretary for EH. The briefing may include identified safety issues, the CAP and planned corrective actions, and any associated resource issues.	ASEM	OSHS	
<u>6.9 Price Anderson Enforcement</u>					
6.9	DOE M 411.1-1A	Refer potential nuclear safety violations to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820, where appropriate. Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement.	DSOs	DASs ODs	Function of all Federal Employees
<u>6.99 Interface with Defense Nuclear Facilities Safety Board</u>					
6.91	DOE M 411.1-1A	Provide full cooperation with the Board, including ready access to Departmental facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1A, Interface With The Defense Nuclear Facilities Safety Board.	ASEM	OSHS	EM provides response to DNFSB Recommendation as directed by the Deputy Secretary and as specified in DOE M 140.1-1A

Table 1. EM FRAM, Revision 2: Responsibilities Sorted by ISMS Core Functions

6 Collect Feedback and Pursue Improvement					
ID	Directive	Responsibility	Lead Role	Support Role	Notes
6.91.01	DOE M 140.1-1A	Consistent with guidance from the Deputy Secretary, implement the Department's policy with respect to the Board.	ASEM	OSHS	
6.91.02	DOE M 140.1-1A	When designated as the cognizant Secretarial Officer responsible for responding to a Board recommendation, correspondence, or other Board issue, designate and empower a Responsible Manager to manage the associated planning, response, and implementation activities, consistent with guidance provided.	ASEM	OSHS	The organizational level of a designated Responsible Manager should be the highest Headquarters or field manager with direct responsibility for overseeing resolution of the identified safety issues and implementation of the Department's response (typically either a Deputy Assistant Secretary or Operations/Area Office Manager).
6.91.03	DOE M 140.1-1A	Support other Secretarial Officers designated as cognizant for responding to and implementing Board recommendations.	ASEM	OSHS	

10.0 DELEGATION MEMORANDA AFFECTING EM INTEGRATED SAFETY MANAGEMENT

- 1 Memorandum to Distribution from Donald W. Pearman, Jr., Thomas P. Grumbly, and Tara J. O'Toole, dated May 26, 1995, Subject: Policy on Field Safety and Health Responsibility.
- 2 Thomas Grumbly to Distribution, Delegation of Review and Approval Authority for Safety Documentation and for Startup/Restart for Environmental Management Field Activities Memorandum, dated August 8, 1994.

Thomas Grumbly to Distribution, Supplementary Guidance on the Delegation of Review and Approval Authority for Safety Document and for Startup/Restart for Environmental Management Field Activities Memorandum dated August 8, 1994, dated November 4 1994.

James Owendoff to Distribution, Delegation of Approval Authority for Radiological/Other Industrial Facilities Safety Documentation, August 14, 1998.
- 3 James Owendoff to Distribution, Delegation Authority of Approval for 10 CFR 830.120 Quality Assurance Programs/Implementation Plans and 10 CFR 835 Radiation Protection Programs. April 10, 1998.
- 4 Alvin Alm to Distribution, Delegation of Authority for Worker Protection Program Functions from DOE O 440.1, July 28, 1997.
- 5 Alvin Alm to Distribution, Delegation of Authority for specific responsibilities from the Department of Energy Technical Standards Program, DOE O 1300.2A, July 28, 1997.
- 6 Alvin Alm to Distribution, Delegation of Authority for quality assurance responsibilities from DOE O 5700.6C, July 28, 1997.
- 7 James Owendoff to Distribution, Delegation of Approval Authority for 1) Off-Normal Occurrences, 2) Initiating Roll-Up Reports and 3) Changes to Facility/Site Occurrence Reporting Implementation Procedures, August 25, 1998.
- 8 Alvin Alm to Distribution, Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for the Office of Environmental Management, June 16, 1997.
- 9 James Owendoff, Memorandum for EM Employees, EM Operational Expectations, November 2, 1998.
- 10 James Owendoff to Distribution, Safety and Health Responsibilities, March 1, 1999

Appendix A. List of Directives Used to Develop the EM FRAM, Rev. 2

DOE M 140.1-1A, January 26, 1999, DOE Interface with the DNFSB

DOE O 151.1, September 25, 1995, Comprehensive Emergency Management System

DOE O 130.1, September 29, 1995, Budget Formulation

DOE N 205.1, July 26, 1999, Unclassified Cyber Security Program

DOE N 205.2, November 1, 1999, Foreign National Access To DOE Cyber Systems

DOE O 210.1, September 27, 1995, Performance Indicators and Analysis of Operations Information

DOE O 225.1A, November 26, 1997, Accident Investigations

DOE O 231.1, September 30, 1995, Environment, Safety, and Health Reporting

DOE M 231.1-1, September 30, 1995, Environment, Safety, and Health Reporting Manual

DOE O 232.1A, July 21, 1997, Occurrence Reporting and Processing of Operations Information

DOE M 232.1A, July 21, 1997, Occurrence Reporting and Processing of Operations Information Manual

DOE M 251.1-1A, January 30, 1998, Directives System Manual

DOE O 252.1, November 19, 1999, Technical Standards Programs

DOE O 360.1A, September 21, 1999, Federal Employee Training

DOE M 360.1-1A, September 21, 1999, Federal Employee Training Manual

DOE M 411.1-1A, October 1999, Safety Management Functions, Responsibilities and Authorities Manual

DOE O 413.1, December 6, 1995, Management Control Program

DOE O 414.1, November 24, 1998, Quality Assurance

DOE O 420.1, October 13, 1995, Facility Safety

DOE O 425.1A, December 28, 1998, Startup and Restart of Nuclear Facilities

DOE O 430.1A, October 14, 1998, Life-Cycle Asset Management

DOE O 435.1, July 7, 1999, Radioactive Waste Management

DOE M 435.1-1, July 7, 1999, Radioactive Waste Management Manual

DOE O 440.1A, March 27, 1998, Worker Protection Management for DOE Federal and Contractor Employees

DOE N 440.1, July 15, 1997, Interim Chronic Beryllium Prevention Program

DOE N 441.1, September 29, 1995, Radiological Protection for DOE Activities

DOE N 441.4, November 20, 1998, Extension of DOE N 441.1

DOE O 442.1, February 1, 1999, Employee Concerns Program

DOE P 450.5, June 26, 1997, Line Environment, Safety and Health Oversight

DOE O 451.1A, June 5, 1997, National Environmental Policy Act Program

DOE O 460.1A, October 2, 1996, Packaging and Transportation Safety

DOE O 460.2, September 27, 1995, Departmental Materials Transportation and Packaging Management

DOE O 470.1, September 28, 1995, Safeguards and Security Program

DOE O 471.2A, March 27, 1997, Information Security Program

DOE O 4330.4B, February 10, 1994, Maintenance Management Program

DOE O 5400.1, November 11, 1988, General Environmental Protection Program

DOE O 5400.5, February 8, 1990, Radiation Protection of the Public and the Environment

DOE O 5480.4, May 15, 1984, Environmental Protection, Safety, and Health Protection Standards

DOE O 5480.19, July 9, 1990, Conduct of Operations Requirements for DOE Facilities

DOE O 5480.20A, November 15, 1994, Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities

DOE O 5480.21, December 24, 1991, Unreviewed Safety Questions

DOE O 5480.22, January 23, 1996, Technical Safety Requirements

DOE O 5480.23, March 10, 1994, Nuclear Safety Analysis Reports

DOE O 5632.1C, July 15, 1994, Protection and Control of Safeguards and Security Interests

DOE O 5633.3B, September 7, 1994, Control and Accountability of Nuclear Materials

10 CRR 830.120, May 5, 1994, Quality Assurance Requirements

10 CFR 835, December 14, 1993, Occupational Radiation Protection

Appendix B: Definitions

Accountability. The state of being liable for explanation to a superior Department of Energy (DOE) official for the exercise of authority. Ultimate accountability is to the Secretary, who may delegate authority or share responsibility for specified actions. The designee of an authority is accountable to the delegating responsible authority for the proper and diligent exercise of that authority. Responsibility differs from accountability in that a responsible official “owns” the function for which he or she is responsible; it is an integral part of his or her duties to see that the function is properly executed, to establish criteria for the judgment of excellence in its execution, and to strive for continuous improvement in that execution. A responsible official is associated with the outcomes of the exercise of authority regardless of whether it was delegated, and regardless of whether the designee properly followed guidance. Accountability, on the other hand, involves the acceptance of the authority for execution or for further delegation of components of execution by using guidance and criteria established by the responsible authority.

Authority. The permission afforded by law, regulation or directive, or delegated by senior management enabling a DOE employee to perform a function or reach and implement a decision.

Authorization Agreement. A documented agreement between DOE and the contractor for high-hazard facilities (Category 1 and 2), incorporating the results of DOE’s review of the contractor’s proposed authorization basis for a defined scope of work. The authorization agreement contains key terms and conditions (controls and commitments) under which the contractor is authorized to perform the work.

Authorization Basis. Those aspects of the facility design basis and operational requirements relied upon by DOE to authorize operation. These aspects are considered to be important to the safety of the facility operations. The authorization basis is described in documents such as the facility safety analysis report and other safety analysis; hazard classification documents, and the technical safety requirements, DOE-issued safety evaluation reports, and facility-specific commitments made to comply with DOE Orders or policies. [DOE O 5480.21, 23]

Authorization Protocols. Those processes used to communicate acceptance of the contractor’s integrated plans for hazardous work. Such protocols are expected to range from preperformance review and approval by DOE of detailed safety-related terms and conditions for performing work (authorization agreement) to less rigorous oversight and postperformance assessment of the contractor’s work.

Chief Operating Officer. That DOE employee delegated the authority by the Secretary to manage day-to-day operations of the Department. At present, the Chief Operating Officer is the Deputy Secretary.

Cognizant Line Manager. The DOE field or Headquarters element manager with direct safety responsibilities for the DOE facility, who is also directly responsible for the development, approval (when delegated such authority by the cognizant secretarial officer), and implementation of corrective action plans and associated corrective action completion, tracking and reporting. The cognizant line manager is also responsible for initiating action to elevate issues associated with corrective action plan development, implementation, and completion to high authority for resolution when necessary.

Cognizant Secretarial Officer. The Assistant Secretary or Director responsible for a bounded set of

facilities or a laboratory (e.g., Lawrence Livermore National Laboratory, Y-12 Plant) within a multi-program field office. (See memorandum, T. J. Glauthier to Departmental Elements, “Roles and Responsibilities Guiding Principles,” 8-19-99.)

Contracting Officer. A DOE official holding the authority to make purchases or contract for goods and services in excess of \$25,000. Contracting officers are appointed using Standard Form 1402, following procedures in DOE O 541.1, APPOINTMENT OF CONTRACTING OFFICERS AND CONTRACTING OFFICER REPRESENTATIVES, which supersedes DOE 4200.4A. For Headquarters support contracts, the contracting officer is generally a member of the Office of Management and Administration. [Federal Acquisition Regulation 1.6, Department of Energy Acquisition Regulation 901.6]

Core Technical Group. The DOE employees identified in a Defense Programs database as possessing technical expertise and prior work experience in a variety of safety-related subjects, for use in recruiting personnel for specific missions.

Delegation. Written permission sent by a responsible authority to another DOE employee transmitting the authority to perform a specific function on behalf of that responsible authority, usually containing guidance towards the manner in which the authority is to be used. By delegation, the responsible authority cannot diminish his or her responsibility for the consequences of the exercise of the authority.

Ensure. As used in this Manual, to ensure means that normal supervision is to be employed to confirm to the ensuring organization’s satisfaction that a condition is being met or an activity is being properly conducted. The degree of rigor to be employed by the ensuring organization should depend on the history of supervision of the performing organization.

Facility Representative. For each major facility or group of lesser facilities, an individual assigned responsibility by the head of the field element for monitoring the performance of the facility and its operations. [DOE O 5480.19, STD-1063-97]

Federal Technical Capabilities Panel. A panel of Senior Technical Safety Managers appointed by the Managers or Assistant Secretaries of Headquarters, operations and field offices, reporting to the Deputy Secretary. The panel meets at least once per quarter as a working group to discuss and formulate policy concerning the Federal Technical Capability Program.

Field Element. A non-Headquarters DOE organization that is geographically distinct. Field elements can be area offices, support offices, operations offices, field offices, regional offices, or offices located at environmental restoration, construction, or termination sites.

Field Element Manager (FEM). The DOE employee having overall responsibility for a field element.

Field Management Council. The Field Management Council was created by the Secretary in a memo dated April 21, 1999, and charged with “corporate program integration and the integration of support

activities with line programs.” All staff and support office policy and guidance with impact the field must flow through the Field Management Council. The Field Management Council is chaired by the Deputy Secretary, and includes the Under Secretary, the Assistant Secretaries for Defense Programs and Environmental Management, and the Director of the Office of Science. Two other members, one from among the other PSOs and the other an FEM , serve in rotation.

Function. An action or activity undertaken by a DOE employee in performing or contributing to the performance of work in compliance with component 3 of DOE P 450.4, SAFETY MANAGEMENT POLICY. This component defines five core functions for integrated safety management, each of which includes several derivative functions which are to be applied with a degree of rigor appropriate to the type of activity and hazards involved.

Hazard. A source of danger (i.e., material, energy source, or operation) with the potential to cause illness, injury, or death to personnel or damage to an operation or to the environment (without regard for the likelihood or credibility of accident scenarios or consequence mitigation). [DOE 5480.23]

Hazard Analysis. The determination of material, system, process, and plant characteristics that can produce undesirable consequences, followed by the assessment of hazardous situations associated with a process or activity. Largely qualitative techniques are used to pinpoint weaknesses in design or operation of the facility that could lead to accidents. The safety analysis report hazard analysis examines the complete spectrum of potential accidents that could expose members of the public, on-site workers, facility workers, and the environment to hazardous materials. [DOE-STD-3009-94]

Hazard Classification. Evaluation of the consequences of unmitigated releases, performed to classify facilities or operations into the following hazard categories:

- Category 1: The hazard analysis shows the potential for significant offsite consequences.
- Category 2: The hazard analysis shows the potential for significant on-site consequences.
- Category 3: The hazard analysis show the potential for only significant localized consequences.

[DOE 5480.23] DOE-STD-1027-92 provides guidance and radiological threshold values for determining the hazard category of a facility. DOE-STD-1027-92 interprets Hazard Category 1 facilities as Category A reactors and other facilities designated as such by the Program Secretarial Officer. [DOE-STD-3009-94]

Hazard Controls. Design features, operating limits, and administrative or safety practices, processes, or procedures to prevent, control, or mitigate hazards.

Head of the Contracting Activity. Head of a Departmental element who has been delegated authority by the Deputy Assistant Secretary for Procurement and Assistance Management to award and administer contracts, sales contracts, and/or financial assistance instruments; appoint contracting officers; and exercise the overall responsibility for managing the contracting activity. [DOE Glossary]

Interface. The interactions between organizations, typically documented in the form of memorandums of

understanding, agreement, or delegation of authority. An interface can be between DOE program offices, field elements, or other Federal agencies.

Landlord Activities. At multiprogram sites, activities such as the maintenance of utilities, roads, fences, fire protection, buildings and support services that are used in common by the individual programs that operate at the site.

Lead Program Secretarial Office (LPSO). The Assistant Secretary or Director to whom assigned field offices directly report and who has overall ownership responsibility for those field offices. (See memorandum, T. J. Glauthier to Departmental Elements, "Roles and Responsibilities Guiding Principles," 8-19-99.)

Nuclear Facility. Nuclear facility means reactor and nonreactor nuclear facilities. Any apparatus that is designed or used to sustain nuclear chain reactions in a controlled manner, including critical and pulsed assemblies and research, test, and power reactors is defined as a reactor. Nonreactor nuclear facility means those activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a nuclear hazard potentially exists to the employees or the general public. [10 CFR 830.3]

Office of Primary Interest. The office most involved in the activity under consideration. Most DOE initiatives will affect many offices; that office being most affected and assuming a dominant role in the initiative is the Office of Primary Interest.

Oversight. The responsibility and authority assigned to the Assistant Secretary for Environment, Safety and Health to independently assess the adequacy of DOE and contractor safety performance. Oversight is separate and distinct from line management activities, including self-assessments. [DOE Glossary]

Program Office. See Program Secretarial Office.

Program Secretarial Office (PSO). A Headquarters organization responsible for executing program management functions, and for assisting and supporting field elements in safety and health, administrative, management, and technical areas. [DOE Glossary] As used in this Manual, a program office is a DOE first-tier organization responsible for one or more of the Department's congressionally established missions. These offices report to the Assistant Secretaries for Defense Programs; Energy Efficiency and Renewable Energy; Environmental Management; Nonproliferation and National Security; and Fossil Energy, and the Offices of Civilian Radioactive Waste Management; Science; Fissile Materials Disposition; and Nuclear Energy, Science and Technology. Some secretarial offices commonly refer to their component organizations that are responsible for specific program elements as program offices.

Responsibility. The state of being liable for the outcome of the exercise of an authority granted by law, regulation, or directive. Responsibility cannot be delegated although the associated authority may be.

Safety Basis. The combination of information relating to the control of hazards at a facility (including design, engineering analyses, and administrative control) upon which DOE depends for its conclusion that activities at the facility can be conducted safely. [DOE 5480.23]

Safety Documentation. Reports, memorandums, and other signed and dated documents that identify the hazards of a process or facility and describe measures for their control. (See DOE 5480.23.)

Safety Management Function. An activity that may affect the safety and health of workers or the public or the protection of the environment.

Secretarial Officer. The head of a first-tier organization; a DOE Headquarters employee reporting directly to the Secretary, the Under Secretary, or the Deputy Secretary. This title is used throughout this Manual to include support, staff and program officers.

Secretarial Safety Council. As established by the Secretary, a council to include senior DOE Headquarters and field managers, chaired by the Deputy Secretary, assigned the task of providing leadership and guidance in implementing integrated safety management across the Department.

Support Office. A DOE organization that provides administrative, legal, technical, independent oversight, policy, and standards support to program offices for safety management functions. Examples of Headquarters support offices include those that report to the Assistant Secretary for Environment, Safety and Health, the Office of Management and Administration; and the Office of General Counsel.

Appendix C: Memoranda signed by the Assistant Secretary that Affect Safety Management Responsibilities, Functions, or Authorities for EM Headquarters of the Field

None at this time. These will be included as changes are made to the EM FRAM, Revision 2.

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

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**Abbreviations for EM
Organizations Listed in
Appendix D**

ASEM	Office of the Assistant Secretary
DASs	All EM Deputy Assistant Secretaries
DSO	Director, Site Offices (Site Leads)
FEM	Field Element Manager
OB	Office of Budget
ODs	All EM Office Directors
OID	Office of Integration and Disposition
OIPA	Office of Intergovernmental and Public Accountability
OMI	Office of Management and Information
OPA	Office of Planning and Analysis
OPB	Office of Planning and Budget
OPC	Office of Project Completion
OPM	Office of Project Management
ORM	Office of Resource Management
OT	Office of Transportation
OTPI	Office of Technical Program Integration
OSC	Office of Site Closure
OSHS	Office of Safety, Health and Security
OST	Office of Science and Technology

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 1.4.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.4.2 **Support Role:** DSOs OB

The LPSO is responsible for long-term planning, for landlord activities, and for sitewide safety.

Notes:

ID: 1.4.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.4.2 **Support Role:** DSOs OB

Provide broad program policy and direction to the field, budget to support program work and an appropriate share of the landlord costs.

Notes:

ID: 1.4.04 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.4.2 **Support Role:** DSOs OSHS

The PSO retains line responsibility for the safety of their specific facilities.

Notes:

ID: 1.4.14 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(10) **Support Role:** DASs

In coordination with the Office of Budget, brief appropriations subcommittee staffs on the organization's portion of the Department's budget and provide additional data to Congress through the Office of Budget, as requested.

Notes:

ID: 1.4.15 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(11) **Support Role:** DASs

Testify at congressional budget hearings, if requested, and provide additional data to Congress, as needed, in support of the program's budget request.

Notes:

ID: 1.4.17 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(3) **Support Role:** DSOs

Notify field elements of plans to close program facilities.

Notes:

ID: 1.4.18 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(4) **Support Role:** DSOs

Coordinate with the [Office of Field Integration] and field elements to support an efficient, economic approach to physical asset management.

Notes:

ID: 1.4.20 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(6) **Support Role:** DSOs

Participate in the Life-Cycle Asset Management Planning and Analysis Group

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 1.4.27 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(2) **Support Role:** DSOs OB

Issue policy relative to its infrastructure planning and budgeting activities.

Notes:

ID: 1.4.29 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(9) **Support Role:**

Lead issue resolution between Program Offices regarding possible conflicts in planned infrastructure uses at multi-program sites.

Notes: ASEM resolves issues among other PSOs via the Field Management Council

ID: 1.4.31 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(8) **Support Role:** DSOs

Support or, if delegated, lead the critical decision process for strategic systems funded by the landlord.

Notes:

ID: 1.4.32 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(11) **Support Role:** DSOs

Coordinate landlord facilities management activities with other DOE landlord programs to provide a consistent approach to landlord facilities management.

Notes: ASEM resolves issues among other PSOs via the Field Management Council

ID: 1.4.35 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(16) **Support Role:** DSOs OB

Assume the responsibilities of the Field Element for project management and physical asset management not delegated to the Field Element.

Notes:

ID: 1.6.04 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(1) **Support Role:** OMI

Approve training policies and procedures for their DOE element.

Notes:

ID: 1.6.08 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(5) **Support Role:** OMI

Designate training approval and authorization officials for their DOE elements.

Notes:

ID: 1.6.11 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(8) **Support Role:** OMI

Approve training agreements for their own elements' programs, agreements with other DOE elements on one-to-one basis, and local geographic area interagency and intergovernmental training-related agreements.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 1.6.18 **Directive:** DOE O 5480.20A **Paragraph:** 7.a.(1) **Support Role:** DSOs OSHS

Assume line management responsibility and accountability for nuclear facility personnel qualification programs

Notes:

ID: 1.6.21 **Directive:** DOE O 5480.20A **Paragraph:** 7.a.(5) **Support Role:**

Approve assessments for full-scope or part-task simulators at Category A test and research reactor facilities.

Notes: EM has no Category A reactor facilities

ID: 2.1.08 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1 **Support Role:** OSHS

If EM is not the OPI: Review and comment on proposed directives. Recommend technical and cost-saving improvements where appropriate. Provide staff to participate on focus groups or technical development teams to ensure a quality product is developed. Alert OPI to any inconsistencies between the proposed directive and Department and SO missions. Review and approve, or deny with reason, applications for exemptions (see DO M 251.1- 1A).

Notes:

ID: 2.2.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.2 **Support Role:** OSHS

If EM is the OPI: Approve final DOE Technical Standards and send to DOE Technical Standards Manager for issuance.

Notes:

ID: 2.4.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.4 **Support Role:** DASs

Concur on proposed DEARs that affect safety. [48 CFR, Chapter 9]

Notes:

ID: 2.5.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.5 **Support Role:** DASs ODs

Approve and implement FRAMs for each organization to delineate how the applicable responsibilities and authorities in this manual are performed.

Notes:

ID: 3.2.01 **Directive:** DOE O 451.1A **Paragraph:** 5.a(1) **Support Role:** DASs

Establish a NEPA compliance program and use the NEPA process early in project and program planning to consider environmental factors along with other relevant information.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 3.2.02 **Directive:** DOE O 451.1A **Paragraph:** 5.a(2) **Support Role:**

Maintain a DOE NEPA Compliance Officer (NCO) for the office . . .

Notes: OIPA is the current NEPA compliance officer

ID: 3.2.09 **Directive:** DOE O 451.1A **Paragraph:** 5.a(8) **Support Role:** DASs

Determine that an environmental assessment is appropriate or that an environmental impact statement is appropriate or required.

Notes: For NEPA activities originating from their respective offices

ID: 3.2.11 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)(a) **Support Role:** OIPA

When another agency is involved in preparation, determine whether DOE shall be a lead or cooperating agency.

Notes:

ID: 3.2.13 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)© **Support Role:** DASs

Determine, based on an environmental assessment, that the impacts of a proposed action are significant and that an environmental impact statement is required, or issuing a finding of no significant impact when appropriate

Notes:

ID: 3.2.14 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)(d) **Support Role:** OIPA

Adopt another agency's environmental assessment [as appropriate].

Notes:

ID: 3.2.17 **Directive:** DOE O 451.1A **Paragraph:** 5.a(10) **Support Role:** DASs

Request from EH-1, delegation of approval or adoption authority for a specific environmental impact statement when appropriate to expedite the review and approval process.

Notes:

ID: 3.2.18 **Directive:** DOE O 451.1A **Paragraph:** 5.a(11) **Support Role:** DASs

When required by the Regulations, prepare a supplement analysis and with the concurrence of DOE counsel, determine whether a supplemental or a new environmental impact statement is required for a proposed action, or whether no further documentation is required.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 3.2.19 **Directive:** DOE O 451.1A **Paragraph:** 5.a(12) **Support Role:** DASs

Determine that a proposed action that may be an interim action is clearly allowable under the Regulations. For a proposed action that may be an interim action not clearly allowable under the Regulations, provide the Assistant Secretary for Environment, Safety and Health with a recommendation for a determination whether the proposed action may proceed.

Notes:

ID: 3.2.20 **Directive:** DOE O 451.1A **Paragraph:** 5.a(13) **Support Role:** DSOs OIPA

Incorporate NEPA values, . . . to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.

Notes:

ID: 3.2.21 **Directive:** DOE O 451.1A **Paragraph:** 5.a(14) **Support Role:** DASs

When appropriate, request from EH-1 a variance from the DOE NEPA Regulations or a variance from this Order.

Notes:

ID: 4.1.2.01 **Directive:** DOE O 232.1A **Paragraph:** 5.b. **Support Role:** DASs

Formally request the Secretary of Energy to grant exemptions to the reporting requirements of this Order, after obtaining concurrence from the Office of Environment, Safety and Health.

Notes:

ID: 4.1.2.02 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.f. **Support Role:** DSOs OSHS

If deemed necessary, formally request the Secretary of Energy to grant an exemption to the reporting requirements of this Manual, after obtaining concurrence from the Office of Environment, Safety and Health. The Secretarial Officer may grant temporary exemptions to the reporting requirements of this Manual, up to 1 year in duration. The Office of Environment, Safety and Health should be notified prior to approval of the temporary exemption.

Notes:

ID: 4.1.2.03 **Directive:** DOE O 420.1 **Paragraph:** 5.c. **Support Role:** DSOs OSHS

Cognizant Secretarial Officers or designees for facilities or planned facilities under their programmatic responsibilities . . . shall review and approve requests for exemptions (for fire protection, nuclear safety, criticality safety, natural hazard phenomenon mitigation).

Notes:

ID: 4.1.2.04 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(5) **Support Role:** OT

Office of Environmental Management: . . . grant DOE exemptions from the requirements of this Order.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 4.1.2.05 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(2) **Support Role:** DSOs OSHS

Program Secretarial Officers (PSOs) shall carry out responsibilities for facilities under their program jurisdiction that include, but are not limited to, the following: Grant temporary exemptions for up to one year from the provisions of this Order after notifying the Secretary.

Notes:

ID: 4.1.2.06 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(3) **Support Role:** DSOs OSHS

Request the Secretary grant permanent exemptions from this Order after concurrence from the . . . Assistant Secretary for Environment, Safety and Health. . . as appropriate.

Notes:

ID: 4.1.2.07 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(4)(a) **Support Role:** DSOs OSHS

Issue permanent exemptions to the requirements of this Order for nonreactor nuclear facilities under his/her cognizance where hazards are of a low magnitude.

Notes: These permanent exemptions must be formally issued and must include an adequate basis justifying the action to ensure, that with proper controls, worker and public health and safety are not affected by the consequences of any postulated Design Basis Accidents (DBA). These permanent exemptions may be granted by the responsible Secretarial Officer only after obtaining the concurrence of the Office of Environment, Safety and Health. . .

ID: 4.1.2.08 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(4)(b) **Support Role:** DSOs OSHS

Formally request, after obtaining the concurrence of the Office of Environment, Safety and Health and the Office of Nuclear Energy, the Secretary to grant permanent exemptions to the requirements of this Order for hazard Category 1 and hazard Category 2 facilities under his/her cognizance.

Notes:

ID: 4.1.2.09 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(4)(c) **Support Role:** DSOs OSHS

Grant temporary exemptions to the requirements of this Order for any activity under his/her cognizance, up to one year in duration. Prior to approval, EH-1 shall also be notified in a timely manner in order to discharge their assigned responsibilities.

Notes:

ID: 4.1.2.10 **Directive:** DOE O 440.1A **Paragraph:** 5.a (6) **Support Role:** DSOs OSHS

Review and be approving authority for exemptions to requirements contained in this Order. Requests for exemptions to all requirements except those exemptions related to OSHA standards imposed on contractors by this Order may be delegated.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 4.1.3.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.4 **Support Role:** DSOs OSHS

Approve requests for exemptions from the requirements of 10 CFR Part 830 as authorized by the provisions of 10 CFR Part 820, Subpart E. This authority may not be delegated.

Notes:

ID: 4.1.3.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.4 **Support Role:** DSOs OSHS

Review 10 CFR Part 834 or 835 exemption request and provide recommendation on approval to EH. Coordinate reviews of proposed exemptions with EH and disposition any comments received.

Notes:

ID: 4.1.4 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.5 **Support Role:** DSOs OSHS

FEMs in coordination with the appropriate CSOs may find it necessary to pursue exemptions from local, State, or other Federal agencies. Responsibilities and authorities for this function are to be included in the appropriate organization-specific FRA documents.

Notes:

ID: 4.1.5.01 **Directive:** DOE O 5400.1 **Paragraph:** 1.4.a.(1) **Support Role:** DSOs OSHS

To the extent that Federal, State, and local laws and regulations allow for an exemption from any standard, . . . Program Senior Officials, as appropriate, are to use applicable administrative and legal procedures to secure approval for any exemption.

Notes:

ID: 4.2.03 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(3) **Support Role:** DSOs OSHS

Provide direction to field organizations for implementation of the requirements of this Order

Notes:

ID: 4.2.07 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(8) **Support Role:**

Establish the authorization level for each facility under their program responsibility.

Notes: EM satisfied this requirement by issuing Delegation Memo 2

ID: 4.2.10 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(4) **Support Role:**

Issue a directive that shall delineate the flow of TSR or TSR change submittals from the contractor through the line and review, approval, and concurrence responsibilities.

Notes: EM satisfied this requirement by issuing Delegation Memo 2

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 4.2.14 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(9) **Support Role:** DSOs

Direct the line to transmit the results of the actions taken under subparagraphs (3), (4), (5), and (7) to the responsible program managers and field organizations with any necessary or appropriate instruction as to subsequent action to be taken.

Notes:

ID: 4.2.23 **Directive:** DOE O 420.1 **Paragraph:** 5.c **Support Role:** OSHS

Approve Implementation Plans submitted to implement DOE 420.1 [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]

Notes:

ID: 4.4.01 **Directive:** DOE O 470.1 **Paragraph:** 5.a(1) **Support Role:** OSHS OMI

Provide program and project direction consistent with the Safeguards and Security directives and policy requirements.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.07 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(3) **Support Role:** OSHS DSOs

Approve or disapprove requests for exceptions from Safeguards and Security directives' requirements in accordance with paragraph 4.f(3)(a) to (e).

Notes:

ID: 4.4.22 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(9) **Support Role:** OSHS OMI

Approve Site Safeguards and Security Plans and annual revisions thereto.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.23 **Directive:** DOE O 231.1 **Paragraph:** 5.b.(2) **Support Role:** OSHS

Upon receipt of a draft (S&S) inspection report containing a "marginal" or "unsatisfactory" rating or other finding of noncompliance with requirements or performance weakness, the lead cognizant secretarial officer shall report on corrective actions to the Under Secretary.

Notes:

ID: 4.4.24 **Directive:** DOE M 231.1-1 **Paragraph:** 1.a **Support Role:** OSHS OMI

The lead CSO, in coordination with any other involved CSO and with the manager of the field organization, shall notify the Under Secretary of interim corrective actions taken within 15 working days of the receipt of a draft inspection report containing an "unsatisfactory" .

Notes: OMI involvement if relates to cyber issues

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 4.4.25 **Directive:** DOE M 231.1-1 **Paragraph:** IV, 1.b **Support Role:** OSHS OMI

If the rating indicates a significant vulnerability, the lead CSO shall identify and implement interim corrective actions within 24 hours of receipt of the draft inspection report; within 72 hours of such receipt, the lead CSO shall provide to the Under Secretary for approval a plan for permanent protective measures necessary to reduce the level of risk to an acceptable level, including cost estimate and implementation schedule.

Notes: Ratings that indicate a significant vulnerability may include unacceptable risk in the areas of special nuclear material theft or diversion, radiological or sabotage or espionage. OMI involvement if relates to cyber issues.

ID: 4.4.26 **Directive:** DOE M 231.1-1 **Paragraph:** IV, 1.c **Support Role:** OSHS

A copy of each report provided to the Under Secretary shall also be sent to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).

Notes:

ID: 4.4.27 **Directive:** DOE M 231.1-1 **Paragraph:** IV, 2 **Support Role:** OSHS

Marginal Inspection Rating Response Reports. Within 15 working days of receipt of a draft inspection report containing a "marginal" rating, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall report to the Under Secretary the corrective actions taken or to be taken. He/she shall also report any permanent changes necessary to mitigate the identified risk or vulnerability, including implementation schedule and cost estimate. A copy of the report shall be provided to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).

Notes:

ID: 4.4.28 **Directive:** DOE M 231.1-1 **Paragraph:** IV, 3 **Support Role:** OSHS

Noncompliance Inspection Finding Response Reports. Within 15 working days of receipt of a draft inspection report containing a finding of noncompliance, the lead CSO, in coordination with any other involved CSO and the manager of the field organization, shall notify the Under Secretary of steps taken to correct and prevent recurrence of items of noncompliance and performance weaknesses identified in the report. A copy of the notification to the Under Secretary shall be provided to the Office of the Deputy Assistant Secretary for Oversight (EH-2) and to the Office of Safeguards and Security (NN-51).

Notes:

ID: 4.4.40 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(6) **Support Role:** OSHS

Approve and transmit directly to the Director of Safeguards and Security for processing, with written justification, access authorization requests (including requests for access authorization reinstatement, extension, or transfer for the following individuals under their cognizance: (a) employees of other agencies assigned or detailed to DOE, including members of the Armed Forces and/or civilian employees of the Department of Defense (DoD) and the National Aeronautics and Space Administration (NASA); (b) employees, consultants, or agents of DOE contractors and subcontractors; (c) foreign nationals (see Chapters I-IX of DOE 5631.2C); and (d) any other individual who will perform work for, be trained by, or represent DOE under any formal agreement, understanding, contract, or treaty.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 4.5.11 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(g) **Support Role:** OSHS

Coordinate with the Assistant Secretary for Congressional, Public and Intergovernmental Affairs, and the Director of Emergency Management to provide for the handling and control of information on emergency situations.

Notes:

ID: 4.7.02 **Directive:** DOE O 435.1 **Paragraph:** 1, 2.B.(1) **Support Role:** OTPI

Establish and maintain integrated Complex-Wide Radioactive Waste Management Programs for high-level, transuranic, low-level, and mixed low-level waste. These programs shall use a systematic approach to planning execution, and evaluation to ensure that waste generation, storage, treatment, and disposal needs are met and coordinated across the DOE complex.

Notes:

ID: 4.8.01 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:**

Approve new cleanup agreements or significant modifications of existing agreements, unless otherwise delegated to FEM

Notes: Review and Approval Guidance for Environmental Compliance and Cleanup Agreements for EM: Delegation Memo 8

ID: 5.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.5.1 **Support Role:** DSOs OSHS

Shut down work . . . if a clear and present safety danger exists

Notes:

ID: 5.1.15 **Directive:** DOE O 425.1A **Paragraph:** 5.a.(2) **Support Role:**

Exercise the delegation authority and document all delegations of authority made under the provisions granted by this Order.

Notes: Satisfied by Delegation Memo 2

ID: 5.2.07 **Directive:** DOE O 440.1A **Paragraph:** 5.a (4) **Support Role:**

When contractors report directly to EM-1, ensure that the responsibilities of paragraph 5b (and applicable responsibilities in the specific functional areas contained in Attachment 1) and the requirements of the CRD (Attachment 2) are implemented.

Notes: Not Applicable: There are currently no cases where contractors doing hazardous work report directly to the EM Program Office

ID: 5.2.08 **Directive:** DOE O 440.1A **Paragraph:** 5.a (5) **Support Role:** OSHS

Assist in the resolution of significant worker protection issues and the improvement in cost effectiveness and efficiency of worker protection programs.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 5.2.21 **Directive:** Title 10 CFR 835 **Paragraph:** 204(a) **Support Role:** OSHS

A planned special exposure may be authorized for a radiological worker to receive doses in addition to and accounted for separately from the doses received under the limits specified in § 835.202(a), provided that each of the following conditions is satisfied: . . . (3) Joint written approval from the appropriate DOE Headquarters program office and the Assistant Secretary for Environment, Safety and Health is received.

Notes:

ID: 5.2.22 **Directive:** DOE N 441.1 **Paragraph:** 7.(a) **Support Role:** OSHS

Authorize exposures that exceed administrative control levels stated in paragraph 6a(1)

Notes: DOE N 441.4 extends DOE N 441.1, RADIOLOGICAL PROTECTION FOR DOE ACTIVITIES, dated 9-30-95 until 6-30-00. The amendment to title 10, Code of Federal Regulations, part 835 (10 CFR 835) is expected to be published in the Federal Register before the end of November 1998. Full compliance with the amended version is not required until 19 months after publication

ID: 5.2.30 **Directive:** DOE O 4330.4B **Paragraph:** 9.e(3) **Support Role:** DSOs

Make determinations and resolve maintenance issues where conflicting programmatic requirements or other issues cannot otherwise be resolved at lower organizational levels.

Notes: Conflicting program direction resolved by the Field Management Council

ID: 6.1.08 **Directive:** DOE O 442.1 **Paragraph:** 5.b.(1) **Support Role:**

Designate the management position or positions responsible for developing and implementing the Employee Concerns Program (ECP).

Notes:

ID: 6.2 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.2 **Support Role:** DSOs OSHS

Establish agreements concerning corrective actions with FEMs

Notes:

ID: 6.2.01 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.a **Support Role:**

Delegate responsibilities and authority for implementing this Manual, to include designation of Program Managers.

Notes: This requirement is fulfilled by the EM FRAM, the administrative instrument for delegating authority within EM. Delegations to the Field are in defined in Delegation Memo 7

ID: 6.2.05 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.a **Support Role:**

Delegate responsibilities and authority for implementing this Manual, to include designation of Program Managers.

Notes: This requirement is fulfilled by the EM FRAM, the administrative instrument for delegating authority within EM.

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 6.2.07 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.c **Support Role:**

Establish agreements with Heads of Field Elements to ensure support to the DOE Facility Representative and Program Manager(s) in accordance with this Manual.

Notes:

ID: 6.5 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.5 **Support Role:** DSOs OSHS

In the event of a serious accident that results in life-threatening injuries or major environmental contamination, the appropriate PSOs are to meet with the Secretary, Deputy Secretary and Under Secretary to thoroughly review the causes of the event, corrective action plans and the effectiveness of the integrated safety management at the site at which the event occurred.

Notes:

ID: 6.5.03 **Directive:** DOE O 225.1 **Paragraph:** 5.b(1) **Support Role:** DSOs OSHS

Approve corrective action plans resulting from Type A and B investigations for satisfaction of judgments of need identified by the Board.

Notes:

ID: 6.6.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.2 **Support Role:** DSOs OSHS

Continuously improve the efficiency and quality of operations; develop, implement, and track corrective actions to profit from prior experience and the lessons learned.

Notes:

ID: 6.6.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.2 **Support Role:** DSOs OSHS

Develop and maintain a process to ensure that corrective actions are planned and pursued to completion and adequately correct the root causes of the conditions that prompted them. When correction cannot be achieved, resolution is to be referred to a higher DOE element. (For those corrective actions occasioned by EH-2 assessment reports, see 9.6.1 and 9.6.1.4)

Notes:

ID: 6.7.07 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(2) **Support Role:** DSOs

Leads in verifying that program objectives are met and is accountable to the Secretary for program direction and execution through the field element.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 6.8 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.2 **Support Role:** DSOs

LPSO, PSO and FEM: When disputes arise, such as those related to the timeliness or adequacy of CAPs or their implementation, elevate them in a step-wise manner through the management hierarchy via a deliberate and timely dispute resolution process that provides each party with equal opportunity for input, and a subsequent opportunity to appeal decisions to the next higher management level, if necessary.

Notes:

ID: 6.8.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.2 **Support Role:** DSOs

Approve CAPs within 60 days of the issuance of the formal independent oversight assessment report.

Notes:

ID: 6.8.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.2 **Support Role:** DSOs

Provide an opportunity for the Department's Chief Operating Officer (COO) or designee to be briefed by the FEM, the Office of Oversight, and the Assistant Secretary for Environment, Safety and Health on the related issues, the CAP, and any associated resource issues.

Notes:

ID: 6.8.03 **Directive:** DOE O 411.1A **Paragraph:** 5.b.(7) **Support Role:**

Prepare a CAP to address safety issues (i.e., quality problems) identified by the Office of Oversight reports.

Notes: Where EH report specifically identifies issues related to EM Headquarters, the ASEM will assign an appropriate Senior EM Manager(s) to prepare CAP.

ID: 6.8.04 **Directive:** DOE O 414.1A **Paragraph:** Attach. 2, 3.c **Support Role:** OSHS

Approve the CAP within 60 days of the issuance of the formal independent oversight assessment report. The PSO may delegate this authority to the CLM or other designee. The PSO has the ultimate approval authority for CAPs.

Notes: ASEM will delegate approval authority on a case-by-case basis

ID: 6.8.05 **Directive:** DOE O 414.1A **Paragraph:** Attach. 2, 3.g **Support Role:** OSHS

[For CAPs issued pursuant to EH-2 findings] provide an opportunity for the Deputy Secretary or designee to be briefed by the Cognizant Line Manager, the Office of Oversight, and the Assistant Secretary for EH. The briefing may include identified safety issues, the CAP and planned corrective actions, and any associated resource issues.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM

ID: 6.91 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.4 **Support Role:** OSHS

Provide full cooperation with the Board, including ready access to Departmental facilities, personnel, and information; provide responses to DNFSB recommendations and requests as described in DOE M 140.1-1A, Interface With The Defense Nuclear Facilities Safety Board.

Notes: EM provides response to DNFSB Recommendation as directed by the Deputy Secretary and as specified in DOE M 140.1-1A

ID: 6.91.01 **Directive:** DOE M 140.1-1A **Paragraph:** I, 3.c.(1) **Support Role:** OSHS

Consistent with guidance from the Deputy Secretary, implement the Department's policy with respect to the Board.

Notes:

ID: 6.91.02 **Directive:** DOE M 140.1-1A **Paragraph:** I, 3.c.(2) **Support Role:** OSHS

When designated as the cognizant Secretarial Officer responsible for responding to a Board recommendation, correspondence, or other Board issue, designate and empower a Responsible Manager to manage the associated planning, response, and implementation activities, consistent with guidance provided.

Notes: The organizational level of a designated Responsible Manager should be the highest Headquarters or field manager with direct responsibility for overseeing resolution of the identified safety issues and implementation of the Department's response (typically either a Deputy Assistant Secretary or Operations/Area Office Manager).

ID: 6.91.03 **Directive:** DOE M 140.1-1A **Paragraph:** I, 3.c.(3) **Support Role:** OSHS

Support other Secretarial Officers designated as cognizant for responding to and implementing Board recommendations.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ASEM DASs

ID: 6.4.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS

Assess their own organization [EM] to identify areas in which continuous improvement in the safety of DOE operations can be realized.

Notes: Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

ID: 6.4.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS

Assign responsibility within the element for establishing criteria for such assessments and for conducting them

Notes: Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

ID: 6.4.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS

Examine the findings of both internal and external assessments of their element to identify root causes and necessary corrective actions within the responsibility of their element.

Notes: Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

ID: 6.4.04 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS

Submit all assessment findings and their corrective actions to the process implementing paragraph 9.6.2, "Make Changes to Improve."

Notes: Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

ID: 6.4.05 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS

Ensure that all currently applicable safety requirements are captured in the organization's FRA document, and are consistent with other FRA documents of other organizations with which there are interfaces.

Notes: Responsibilities are assigned for the element, EM in this case, not HQ oversight of the Field

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: *ASEM* *FEM*

ID: 5.1.03 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(b) **Support Role:**

For shutdowns directed by a DOE management official for safety or other appropriate reasons, authorization to restart shall be granted by an official of a level commensurate with the official ordering the shutdown unless a higher level is designated by the Secretarial Officer.

Notes: ASEM or FEM depending on which shutdown the facility

ID: 6.2.06 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.b **Support Role:** DSOs OSHS

Review and approve the Facility/Site Implementation Procedure after coordination with the Office of Environment, Safety and Health. Provide a copy of the implementing procedure to EH-33 upon approval

Notes: After initial approval by EM Headquarters, all further approvals of changes are made by the FEM.

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DASs

ID: 1.6.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.6.1 **Support Role:**

Recruit, maintain, and support the DOE Core Technical Group of subject matter experts.

Notes: Delegation Memo 9

ID: 2.1.04 **Directive:** DOE M 251.1-1A **Paragraph:** II.1.d.(4) and III, 2. **Support Role:** OSHS

If EM is not the OPI: Heads of Departmental Elements . . . provide comments on directives systems documents as requested. . . review Directive Management Documents and draft directives and provide comments within established schedules.

Notes: As assigned by ASEM

ID: 3.2.03 **Directive:** DOE O 451.1A **Paragraph:** 5.a(2) **Support Role:**

Designate a DOE NEPA Document Manager (NDM) at the start of each environmental assessment and environmental impact statement.

Notes: DAS designates an NDM for NEPA activities originating from their office

ID: 3.2.04 **Directive:** DOE O 451.1A **Paragraph:** 5.a(3) **Support Role:**

Ensure that internal scoping procedures, a quality assurance plan and a public participation plan are prepared for the office.

Notes: For NEPA activities originating from their respective offices

ID: 3.2.05 **Directive:** DOE O 451.1A **Paragraph:** 5.a(4) **Support Role:** ODs

Include in new contracts and grants a provision that the awardee may not undertake on DOE's behalf an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA requirements.

Notes:

ID: 3.2.06 **Directive:** DOE O 451.1A **Paragraph:** 5.a(5) **Support Role:**

Incorporate NEPA milestones in project planning documents.

Notes: For NEPA activities originating from their respective offices

ID: 3.2.10 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9) **Support Role:**

After an environmental assessment determination, prepare and issue an environmental assessment. Responsibilities for approving and adopting environmental assessments and issuing FONSI may not be delegated except as provided in this Order.

Notes: For NEPA activities originating from their respective offices

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DASs

ID: 3.2.12 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)(b) **Support Role:**

Obtain concurrence of DOE counsel in the legal adequacy of an environmental assessment before it is approved and in any finding of no significant impact before it is issued.

Notes: For NEPA activities originating from their respective offices

ID: 3.2.15 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)(e) **Support Role:**

When a commitment to mitigation is essential to render the impacts of a proposed action not significant, preparing a mitigation action plan for any such commitment before issuing the finding of no significant impact.

Notes: For NEPA activities originating from their respective offices

ID: 3.2.16 **Directive:** DOE O 451.1A **Paragraph:** 5.a(9)(f) **Support Role:**

Track and annually report progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impacts of a proposed action not significant.

Notes: For NEPA activities originating from their respective offices

ID: 5.3.04 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(2) **Support Role:**

Develop, approve, and implement a QAP governing the work of their organizations in accordance with the requirements of Paragraph 4, as applicable. Identify the senior management position specifically assigned this responsibility.

Notes:

ID: 5.3.05 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(3) **Support Role:**

Provide direction and resources for implementing the requirements for work within their purview.

Notes:

ID: 6.2.19 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.l **Support Role:** DSOs

Notify the CSO of all Unusual Occurrences.

Notes:

ID: 6.2.21 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.k **Support Role:** DSOs

Elevate any unresolved issues regarding actions or determinations on reportable occurrence to the Secretarial Officer and, if necessary, the Secretary for resolution and direction.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DASs ODs

ID: 1.6.12 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(9) **Support Role:** OMI

Provide subject matter experts to meet training program requirements.

Notes: All supervisors and managers support this effort through OMI

ID: 1.6.13 **Directive:** DOE O 360.1A **Paragraph:** 5.j.(1) **Support Role:** OMI

Ensure training compliance with applicable laws, regulations, policies, requirements, and provisions of workforce training agreements.

Notes: Responsibility is Assigned to all Managers, Supervisors, and Employees.

ID: 1.6.14 **Directive:** DOE O 360.1A **Paragraph:** 5.j.(2) **Support Role:** OMI

Participate in performance and training needs assessments and related workforce planning, identify training opportunities, and maintain current individual development plans.

Notes: Responsibility is Assigned to all Managers, Supervisors, and Employees.

ID: 5.2.02 **Directive:** Title 29 CFR 1960 **Paragraph:** 9 **Support Role:**

Employees who exercise supervisory functions shall, to the extent of their authority, furnish employees employment and a place of employment which are free from recognized hazards that are causing or are likely to cause death or serious physical harm.

Notes: All EM Supervisors

ID: 5.2.03 **Directive:** Title 29 CFR 1960 **Paragraph:** 9 **Support Role:**

Employees who exercise supervisory functions shall also comply with the occupational safety and health standards applicable to their agency and with all rules, regulations and orders issued by the head of the agency with respect to the agency occupational safety and health program.

Notes: All EM Supervisors

ID: 5.3 **Directive:** DOE M 411.1-1A **Paragraph:** 9.5.3 **Support Role:**

Ensure implementation of quality assurance programs, continuous improvement, and provision of adequate resources.

Notes:

ID: 5.3.02 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(1) **Support Role:**

Ensure that Headquarters . . . Implement[s] this Order in an integrated manner and coordinate the resolution of quality issues among these organizations.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 1.4.23 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(12) **Support Role:** OB

Support, including funding, the Field Elements in the management of inactive and excess program facilities that have not been transferred to the appropriate organization for deactivation and decommissioning. Ensures that radioactive and hazardous materials and waste are removed unless otherwise agreed to prior to facility transfer, and completes a Pre-Transfer Review prior to the transfer of a facility unless otherwise agreed to by the Program Office to which the facility will be transferred.

Notes:

ID: 1.4.26 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(1) **Support Role:** OB

Support DOE Field Element's management of site infrastructure by prioritizing and budgeting for real property needs in a manner consistent with current and planned site mission activities. For multi-program sites these responsibilities include coordination of funding requirements with other Program Offices.

Notes:

ID: 1.4.28 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(7) **Support Role:** OB

Support, including funding, Field Elements in the management of inactive and excess landlord facilities that have not been transferred to another Program Office.

Notes:

ID: 1.4.30 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(10) **Support Role:**

Support Field Elements in site-wide and external facilities management and infrastructure issues requiring Headquarters involvement.

Notes:

ID: 1.6.19 **Directive:** DOE O 5480.20A **Paragraph:** 7.a.(3) **Support Role:** OSHS

Perform reviews to confirm implementation of this Order using DOE-STD-1070-94

Notes: Delegation Memo 10

ID: 2.3.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.3 **Support Role:** OSHS

Ensure that resources used in implementing rules is appropriate to provide reasonable assurance of adequate protection in the operation of nuclear facilities.

Notes:

ID: 2.4.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.4 **Support Role:**

Provide guidance to FEMs on expected performance, and set goals and priorities, allocate resources.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 2.4.03 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(10) **Support Role:**

Lead in establishing and clearly stating expected program performance objectives and program performance criteria and supports the contracting officer in implementation of performance criteria for stated objectives.

Notes:

ID: 2.4.04 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(11) **Support Role:**

Verify that Field Elements have the asset management performance criteria and measures in place to effectively oversee programmatic facilities.

Notes:

ID: 2.4.05 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(3) **Support Role:**

Lead in establishing infrastructure performance objectives and supports the contracting officer in developing performance criteria for the site.

Notes:

ID: 2.8 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.4 **Support Role:** OB OSHS

Review the safety management system and provide guidance to the FEM regarding its ability to ensure that mission and safety expectations can be met within budget constraints (see DOE P 450.4, Safety Management System Policy, Guiding Principle 4, Balanced Priorities).

Notes:

ID: 3.1.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.3.2 **Support Role:** OSHS

Monitor and assess the effectiveness of FEM oversight of contractor analysis of hazards associated with work at their facilities.

Notes:

ID: 3.1.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.3.1 **Support Role:** OSHS

Monitor the FEM's program for hazard classification of facilities and activities.

Notes:

ID: 4.2 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.2.2 **Support Role:** OSHS

Review documentation for controls for selected facilities (e.g., accelerators and other major systems).

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 4.2.01 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(1) **Support Role:** OSHS

Ensure the preparation, review, and approval of contractor documentation implementing the requirements of this Order;

Notes:

ID: 4.2.02 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(2) **Support Role:** OSHS

Actively monitor the Unreviewed Safety Question (USQ) identification, review, and decision making process of DOE Field Offices and contractors under their cognizance to determine whether an incident, analysis, or a proposed change/modification to systems, components, processes, operations, tests, or experiments involves : USQ

Notes:

ID: 4.2.04 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(4) **Support Role:** OSHS

Declare the existence of a USQ, when discovered, and direct the Field Office Manager to curtail or suspend operations, tests, experiments, or actions to implement the proposed changes/modifications pending resolution of the USQ concerns, or take other actions as appropriate to reduce the risk

Notes:

ID: 4.2.05 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(5) **Support Role:** OSHS

Assist the contractor or Field Office Manager, when requested, in determining whether an incident, analysis, or proposed change/modification to systems, components, processes, operations, tests, or experiments involves : USQ

Notes: Delegation Memo 10

ID: 4.2.13 **Directive:** DOE O 5480.22
DOE O 5480.23 **Paragraph:** 8.a.(8) **Support Role:** OSHS

Conduct appraisals to assure compliance with these Orders.

Notes: Delegation Memo 10

ID: 4.2.17 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(5) **Support Role:** OSHS

Provide guidance and assistance to field organizations in applying the graded approach for the facility, and the performance of safety reviews, appraisals, etc., to assure contractor compliance with the provisions of DOE Order 5480.23.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 4.2.18 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(7) **Support Role:**

Transmit the results of the actions taken above to the responsible program managers and field organizations with a copy to EH depending on the nature of the issue being addressed.

Notes:

ID: 4.2.22 **Directive:** DOE O 420.1 **Paragraph:** 5.c **Support Role:** OSHS

Review Implementation Plans submitted to implement the Order [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]

Notes: Delegation Memo 10

ID: 4.2.24 **Directive:** DOE O 420.1 **Paragraph:** 5.c **Support Role:** OSHS

Review Implementation Plans submitted to implement the DOE 420.1 [concerning the following functional areas: criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation]

Notes:

ID: 4.3.05 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.3.3 **Support Role:** OSHS

Ensure systems are in place for the development and implementation of appropriate authorization protocols, including a protocol for assessment support to the FEM.

Notes: Delegation Memo 10

ID: 4.5.01 **Directive:** DOE O 151.1 **Paragraph:** 4.b.(4).b **Support Role:** OSHS

Ensure implementation of policy and requirements for activities conducted by sites/facilities and Operations/Field Offices under their cognizance.

Notes: Delegation Memo 10

ID: 4.5.09 **Directive:** DOE O 151.1 **Paragraph:** I. 7.(e).(4) **Support Role:** OSHS

Ensure . . . Training and response is adequate in Operations/Field Office programs.

Notes:

ID: 4.5.10 **Directive:** DOE O 151.1 **Paragraph:** I.7.(f) **Support Role:** OSHS

Conduct line management reviews of program-specific emergency management activities in coordination with the Director of Emergency Management.

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 4.6.29 **Directive:** DOE O 460.2 **Paragraph:** 5.b.(1) **Support Role:** OT

Ensure that DOE Field Elements and contractors under their purview, involved in performing or managing transportation and packaging, fully implement and comply with the requirements of this Order.

Notes: Delegation Memo 10

ID: 4.6.32 **Directive:** DOE O 460.2 **Paragraph:** 5.b.(4) **Support Role:** OT

Conduct program reviews of transportation and packaging development activities under their purview and participate in the development of the Department's Packaging Management and Transportation Research and Development Plans and Technical Review Board to ensure program needs are being addressed.

Notes: Delegation Memo 10

ID: 4.7.01 **Directive:** DOE O 435.1 **Paragraph:** I, 2.A **Support Role:** OTPI

Program Secretarial Officers with radioactive waste management facilities, operations, or activities are responsible within their respective programs for ensuring that the Field Element Managers meet the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual.

Notes:

ID: 4.8.04 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:**

Monitor Field performance in complying with cleanup or compliance agreement

Notes: Delegation Memo 8

ID: 4.8.05 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:** OIPA

Determine, in consultation with GC-51, the extent of HQ involvement in resolving issues leading to NOVs

Notes: Delegation Memo 8

ID: 5.2 **Directive:** DOE M 411.1-1A **Paragraph:** 9.5.2 **Support Role:**

Ensure implementation of safety management systems, Facility Representative programs, and performance measures to ensure adequate protection of the worker, public, and the environment, and that adequate resources are allocated.

Notes: Delegation Memo 10

ID: 5.2.26 **Directive:** DOE O 5480.19 **Paragraph:** 6.a.(3) **Support Role:** OSHS

Ensure that Program Managers oversee the conduct of operations at those facilities under their cognizance, in accordance with the requirements of DOE 5480.19.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 5.2.27 **Directive:** DOE O 4330.4B **Paragraph:** 9.e. **Support Role:**

Ensure that the requirements of this Order are implemented and . . . take all necessary actions to execute programs ensuring that DOE property is maintained to support short-term and long-term goals and missions.

Notes:

ID: 5.2.29 **Directive:** DOE O 4330.4B **Paragraph:** 9.e(2) **Support Role:**

Ensure that alternate methods are utilized to comply with the intent of DOE 4330.4B where program activities preclude implementation of specifically stated maintenance requirements.

Notes:

ID: 5.3.03 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(1) **Support Role:** OSHS

Ensure that . . . Field Elements . . . and contractors implement this Order in an integrated manner and coordinate the resolution of quality issues among these organizations.

Notes:

ID: 5.3.06 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(4) **Support Role:** OSHS

Review and concur with Field Element QAPs.

Notes:

ID: 6.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.1 **Support Role:**

Remain cognizant of information likely to be useful in improving the performance of the programs under the office's direction.

Notes: Delegation Memo 10

ID: 6.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.1 **Support Role:** OSHS

Collect information for use in the lessons learned program from the performance of assessments of the contractor and field element operations.

Notes: Delegation Memo 10

ID: 6.1.01 **Directive:** DOE O 210.1 **Paragraph:** 4.a **Support Role:** OSHS

Establish a program that identifies, gathers, verifies, analyzes, trends, disseminates, and makes use of ES&H performance indicators to improve the performance of DOE facilities, programs, and organizations.

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 6.1.02 **Directive:** DOE O 210.1 **Paragraph:** 4.b **Support Role:** OSHS

Gather, verify, analyze, trend, and disseminate ES&H performance indicator data, including narrative data, which can help assess performance; where appropriate, perform root cause analyses.

Notes: Delegation Memo 10

ID: 6.1.03 **Directive:** DOE O 210.1 **Paragraph:** 4.c **Support Role:** OSHS

Implement feedback mechanisms for identification and communication of ES&H good practices, lessons learned, and corrective actions.

Notes: Delegation Memo 10

ID: 6.1.04 **Directive:** DOE O 210.1 **Paragraph:** 4.d **Support Role:** OSHS OMI

Maintain a management information system containing appropriate ES&H performance indicator data for historical reference.

Notes: Delegation Memo 10

ID: 6.1.05 **Directive:** DOE O 210.1 **Paragraph:** 4.e **Support Role:** OSHS

Periodically assess ES&H performance indicator programs to verify that indicators are accurately measuring performance and are resulting in improved performance.

Notes: Delegation Memo 10

ID: 6.1.06 **Directive:** DOE O 210.1 **Paragraph:** 5.a **Support Role:** OSHS

Use analytical ES&H data to base decisions, establish goals, identify performance trends, provide early identification of potential problems, and apply lessons learned and good practices.

Notes: Delegation Memo 10

ID: 6.2.03 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.d **Support Role:** OSHS

Review Occurrence Reports for indications of deteriorating or poor program performance in their respective areas of authority.

Notes: Delegation Memo 10

ID: 6.2.04 **Directive:** DOE O 232.1A **Paragraph:** 5.e **Support Role:** OSHS

For facilities under their cognizance, review activities relating to occurrence reporting to ensure that facility personnel implement a program compatible with this Order and that lessons learned and generic or programmatic implication are identified and elevated to the Secretarial Officer for appropriate action.

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 6.2.11 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.a **Support Role:** OSHS

Review Activities relating to reportable occurrence, including reporting and development of programs and procedures.

Notes: Delegation Memo 10

ID: 6.2.12 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.b **Support Role:**

Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.

Notes:

ID: 6.2.15 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.e **Support Role:**

Ensure that actions are taken to minimize or prevent recurrence

Notes:

ID: 6.2.16 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.f **Support Role:**

Review and assess reportable occurrence information from facilities under their cognizance to assess significance, root cause, generic implications, and the need for corrective action, and to ensure that DOE and contractor staff involved in these operations perform the related functions.

Notes: Delegation Memo 10

ID: 6.2.20 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.j **Support Role:**

Interact with the Facility Representative and HQ oversight organizations as necessary, and inform and advise their respective management of their findings.

Notes:

ID: 6.2.22 **Directive:** DOE M 232.1-1A **Paragraph:** 5.6.c **Support Role:** OSHS

The Program Manager shall review, approve, and add any comments to the Final Report within 14 calendar days after receipt.

Notes: Approval authority for Off-Normal Occurrence Reports has been delegated to the FEM. Approval of Unusual Occurrence Reports is retained by Headquarters

ID: 6.4.06 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.4 **Support Role:** OSHS OB

As part of overall issue management, review the findings of assessments to evaluate their safety significance and ensure that appropriate priorities and resources are assigned to corrective actions. Where this review finds insufficient safety significance to justify corrective efforts, report the results of that review to the assessing organization.

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 6.5.01 **Directive:** DOE O 225.1 **Paragraph:** 5.b(1) **Support Role:**

Cooperate with the Board during the investigation.

Notes:

ID: 6.5.02 **Directive:** DOE O 225.1 **Paragraph:** 5.b(1) **Support Role:**

Review draft Type A and Type B investigation reports for factual accuracy within the time frame allowed for the investigation.

Notes: Delegation Memo 10

ID: 6.7 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.1 **Support Role:**

Monitor field element and contractor performance through the review of information provided by the field elements, EH, and external organizations. When appropriate, participate in field element appraisals. Conduct on-site reviews of field element performance, including verification of their appraisals of the contractor.

Notes: Delegation Memo 10

ID: 6.7.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.4 **Support Role:** OSHS

Monitor the FEM oversight of the contractor's controls processes.

Notes: Delegation Memo 10

ID: 6.7.02 **Directive:** DOE P 450.5 **Paragraph:** 3 **Support Role:**

Headquarters' line managers coordinate their oversight functions with field elements through the designated landlord for each site.

Notes: Delegation Memo 10

ID: 6.7.03 **Directive:** DOE P 450.5 **Paragraph:** 3a **Support Role:**

Monitor field element and contractor performance through the review of information provided by field elements, contractors, EH, and external organizations, such as the Defense Nuclear Facilities Safety Board.

Notes: Delegation Memo 10

ID: 6.7.04 **Directive:** DOE P 450.5 **Paragraph:** 3.b **Support Role:**

When appropriate, participate in field element appraisals, assessments, surveillances, and walkthroughs of contractor facilities and activities.

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs

ID: 6.7.05 **Directive:** DOE P 450.5 **Paragraph:** 3.c **Support Role:**

Conduct onsite reviews of field element performance, including verification of their appraisals of the contractor, as necessary.

Notes: Delegation Memo 10

ID: 6.7.06 **Directive:** DOE P 450.5 **Paragraph:** 3.d **Support Role:**

[Conduct] for cause reviews, as necessary.

Notes: Delegation Memo 10

ID: 6.7.08 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(8) **Support Role:**

Conduct reviews of field element performance, including design, scope, and cost peer reviews for program elements under their programmatic authority

Notes:

ID: 6.7.09 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(15) **Support Role:**

Lead oversight of Field Elements to ensure that performance criteria and measures are in place to effectively achieve program and project objectives related to the Program Office's programmatic authority.

Notes:

ID: 6.7.10 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(4) **Support Role:**

Support the [Office of Field Integration] in verifying that Field Elements have asset management performance criteria and measures in place to effectively oversee nonprogrammatic facilities.

Notes:

ID: 6.7.11 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(5) **Support Role:**

Lead reviews of Field Elements infrastructure activities, in coordination with the Program Offices and the [Office of Field Integration].

Notes:

ID: 6.9 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.3.3 **Support Role:** DASs ODs

Refer potential nuclear safety violations to the Office of Enforcement and Investigation for review under the provisions of 10 CFR Part 820, where appropriate.
Provide information and support investigations. Participate in enforcement conferences with the Office of Enforcement.

Notes: Function of all Federal Employees

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: DSOs OIPA

ID: 4.8.02 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:** OB

Concur on new cleanup agreements or significant modifications of existing agreements

Notes: Delegation Memo 8

ID: 4.8.03 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:** OB

In consultation with GC-51, determine if a cleanup or compliance agreement modification is significant

Notes: Delegation Memo 8

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 3.1.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.3.1 **Support Role:**

Approve final facility hazard classification for nuclear facilities, where this authority has not been delegated.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Category 1 Facilities: Delegation Memo 2.

ID: 4.1.6 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.6 **Support Role:**

Approve nuclear safety rule implementation plans, programs, and procedures where approval of DOE is required. Respond to FEM or EH comments.

Notes: Approval of implementation plans, programs, and procedures for all existing nuclear safety rules has been delegated. Delegation of approval for implementation plans for impending rules will be on a case-by-case basis: Delegation Memo 3

ID: 4.2.09 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(1) **Support Role:**

Require preparation of Technical Safety Requirements for all nuclear facilities, unless for a particular facility, based upon safety analysis, the PSO determines that a TSR would not be appropriate for that particular facility.

Notes: EM satisfied this requirement by issuing Delegation Memo 2

ID: 4.2.11 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(5) **Support Role:**

Review and approve schedules for preparing new Technical Safety Requirements in accordance with this Order

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 4.2.15 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(1) **Support Role:**

Require that contractors prepare and update Safety Analysis Reports for each nuclear facility and nuclear operations under their jurisdiction (unless exempted) in the concordance with the provisions of this Order.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 4.2.16 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(3) **Support Role:**

Assure that all commitments made in the approved Safety Analysis Report are carried out by the contractors for the nuclear facilities and nuclear operations.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 4.2.20 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(10) **Support Role:**

Designate in writing the design, construction, or operations contractors that will be responsible for preparing a SAR for each nuclear facility/operation.

Notes: FEM is the contracting officer and is responsible for designating the contractor that prepares the SAR.

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 4.2.21 **Directive:** DOE O 420.1 **Paragraph:** 5.c **Support Role:**

Ensure that all programs comply with [criticality safety, nuclear safety, explosives safety, fire protection, and natural phenomena hazard mitigation] requirements falling within the scope of this Order . . .

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 4.3 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.3.2, 9.4.1.2 **Support Role:**

Approve the safety documentation, authorization bases, specific requirements to be included in contracts, Authorization Agreements for nuclear facilities categorized as Hazard Category 2 or below, accelerators, and non-nuclear facilities.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 4.3.01 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(2)[1] **Support Role:**

Approve Safety Analysis Reports and revisions thereto for all nuclear facilities.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 4.3.02 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(6) **Support Role:**

Approve new Technical Safety Requirements and revisions thereto for all nuclear facilities.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 4.3.03 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(6) **Support Role:**

Approve changes determined to involve a USQ prior to implementation, and approve operations when a USQ has been determined to exist

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 4.3.04 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(2)[2] **Support Role:**

Issue a Safety Evaluation Report that documents the basis upon which the approvals have been made.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 5.1.01 **Directive:** DOE O 425.1A **Paragraph:** 4.a(1) **Support Role:**

Determine (and ensure that contractor management determines) if Operational Readiness Reviews are required for startup of new nuclear facilities or restart of a nuclear facility using the requirements given below.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 5.1.02 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(a) **Support Role:**

For initial startups of new hazard category 3 nuclear facilities, the Secretarial Officer (or designee) shall approve startup. If other DOE Orders require a higher level of startup authorization than this Order, the official described in this Order will recommend startup to the higher level official.

Notes: Delegated to the FEM, Delegation Memo 2

ID: 5.1.04 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(c) **Support Role:**

For extended shutdowns of hazard category 1 nuclear facilities, the Secretarial Officer shall approve restart. For extended shutdowns of hazard category 2 nuclear facilities, the Secretarial Officer (or designee) shall approve restart.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 5.1.05 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(d) **Support Role:**

For shutdowns because of substantial plant or facility modifications of hazard category 1 nuclear facilities that require changes in the safety basis previously approved by DOE, the Secretarial Officer shall approve restart. For such shutdowns of hazard category 2 nuclear facilities, the Secretarial Officer (or designee) shall approve restart.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 5.1.06 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(e) **Support Role:**

For facility shutdowns due to operations outside the safety basis, the official approving restart shall be commensurate with the approval authority for the safety basis. If the safety basis was approved by a Headquarters official, the Secretarial Officer (or designee) shall approve restart.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

ID: 5.1.07 **Directive:** DOE O 425.1A **Paragraph:** 4.a(3)(f) **Support Role:**

For startups or restarts of nuclear facilities for which Operational Readiness Reviews were required as a result of a DOE official deeming it appropriate, the official approving startup or restart shall be of a level commensurate with the official directing the review. If a Headquarters official directed an Operational Readiness Review be performed, the Secretarial Officer (or designee) shall approve the startup or restart.

Notes: Delegated to FEM for Hazard Category 2 and below facilities. EM has no Hazard Category 1 facilities: Delegation Memo 2

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 5.1.08 **Directive:** DOE O 425.1A **Paragraph:** 4.b(1) **Support Role:**

For Operational Readiness Reviews, DOE line management shall require contractors to prepare the following documents: startup/restart notification reports, plans-of-action, Operational Readiness Reviews Implementation Plans, and final reports. DOE line management shall prepare plans-of-action, and ensure the ORR team leaders prepare Operational Readiness Review Implementation Plans, and final reports. The resolution of all findings from the Operational Readiness Reviews shall be documented and maintained with the plans-of-action, Implementation Plans, and final reports.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.1.09 **Directive:** DOE O 425.1A **Paragraph:** 4.b(2) **Support Role:**

Develop (and ensure the contractor develops) the breadth of the Operational Readiness Review and documents it in each plan-of-action

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.1.10 **Directive:** DOE O 425.1A **Paragraph:** 4.b(3) **Support Role:**

Ensure the contractor's plan-of-action specifies the prerequisites for starting the responsible contractor's Operational Readiness Review; the prerequisites shall address each core requirement of section determined to be applicable when developing the scope of the Operational Readiness Review.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.1.11 **Directive:** DOE O 425.1A **Paragraph:** 4.b(3) **Support Role:**

Appoint (and ensure that contractor management appoints) Operational Readiness Review teams in accordance with . . . qualifications and training requirements [listed in this Order].

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.1.12 **Directive:** DOE O 425.1A **Paragraph:** 4.b(4)(a) **Support Role:**

Require that the DOE Operational Readiness Review team determines (and ensures that the contractor's Operational Readiness Review team determines) the criteria and reviews approaches to be used for their review based on the approved breadth given in their plan-of-action and documents the criteria and review approaches in their Operational Readiness Review Implementation Plan.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.1.13 **Directive:** DOE O 425.1A **Paragraph:** 4.b(8)(a) **Support Role:**

Upon completion of the contractor or DOE Operational Readiness Review, DOE line management shall ensure final report is prepared and approved by the Operational Readiness Review team leader.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 5.1.14 **Directive:** DOE O 425.1A **Paragraph:** 4.b(10) **Support Role:**

Ensure the contractor has satisfactorily resolved all prestart findings of the DOE Operational Readiness Review prior to startup or restart of the facility.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.04 **Directive:** DOE O 440.1A **Paragraph:** 5.a (1) **Support Role:**

Ensure that program-specific worker protection goals and objectives are developed and resources are provided

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.05 **Directive:** DOE O 440.1A **Paragraph:** 5.a (2) **Support Role:**

Ensure that worker protection policies and requirements are effectively implemented.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.06 **Directive:** DOE O 440.1A **Paragraph:** 5.a (3) **Support Role:**

Develop or participate in recognition programs that encourage the improvement of worker protection programs.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.14 **Directive:** DOE N 440.1 **Paragraph:** 5.a **Support Role:**

Require initiators of procurement requests to identify in those requests whether the CRD for this Notice applies to contractors (and subcontractors thereunder), and also identify any special instructions for the application of the CRD.

Notes: Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting office for EM work; therefore, these responsibilities are carried out by the FEM.

ID: 5.2.15 **Directive:** DOE N 440.1 **Paragraph:** 5.b **Support Role:**

Within 90 days after the effective date of this Notice, initiate negotiations for application of the CRD for this Notice to existing contracts (and subcontracts thereunder)

Notes: Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting office for EM work; therefore, these responsibilities are carried out by the FEM.

ID: 5.2.16 **Directive:** DOE N 440.1 **Paragraph:** 5.c **Support Role:**

Require that contractors submit CBDPPs to their DOE Field Organizations for review and have approved CBDPPs within 6 months after the effective date of this Notice.

Notes: Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting office for EM work; therefore, these responsibilities are carried out by the FEM.

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 5.2.17 **Directive:** DOE N 440.1 **Paragraph:** 5.e **Support Role:**

Review and approve all contractor CBDPPs.

Notes: Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting office for EM work; therefore, these responsibilities are carried out by the FEM.

ID: 5.2.18 **Directive:** DOE N 440.1 **Paragraph:** 5.f **Support Role:**

Modify the requirements of this Notice for a contractor or subcontractor when necessary to accommodate the obligations of a contractor whose employees are represented for collective bargaining purposes by a labor organization consistent with the requirements of the National Labor Relations Act.

Notes: Requirement assigned to either FEM or ASEM, depending on which organization the contractor reports to. There are currently no cases where contractors report directly to the EM Program Office. FEM is the contracting office for EM work; therefore, these responsibilities are carried out by the FEM.

ID: 5.2.19 **Directive:** Title 10 CFR 835 **Paragraph:** 101 **Support Role:**

Review and either direct changes to or approve Radiation Protection Programs and implementation plans for 10 CFR 835 within 180 days after submittal to DOE.

Notes: Delegated to the FEMs under specified constraints: Delegation Memo 3

ID: 5.2.20 **Directive:** Title 10 CFR 835 **Paragraph:** 03 **Support Role:**

Ensure that no DOE personnel take or cause to be taken any action inconsistent with 10 CFR 835 or any plan, program, schedule or other process established by 10 CFR 835.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.23 **Directive:** DOE O 5400.5 **Paragraph:** 9.b.(2)(a) **Support Role:**

Implement DOE public and environmental radiation protection policy and requirements in their respective programs

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.24 **Directive:** DOE O 5480.19 **Paragraph:** 6.a.(1) **Support Role:**

Provide direction to field elements for the conduct of operations for facilities under their cognizance

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 5.2.25 **Directive:** DOE O 5480.19 **Paragraph:** 6.a.(2) **Support Role:**

Ensure the preparation, review, and approval of contractor documentation implementing the requirements of DOE 5480.19 for programs under their cognizance.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 5.3.01 **Directive:** Title 10 CFR 830 **Paragraph:** 120 **Support Role:**

Review, comment on and/or approve contractor Quality Assurance Programs (QAPs) and Implementation Plans (IPs) for 10 CFR 830.120 within 180 days after submittal to DOE.

Notes: Delegated to the FEMs under specified constraints: Delegation Memo 3

ID: 5.3.07 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(4) **Support Role:**

Review and approve contractor new and revised QAPs within their purview or delegate this authority to the relevant Field Element manager. QAPs must be reviewed and approved—or rejected—within 90 days of receipt.

Notes: Delegation Memo 6

ID: 6.1.07 **Directive:** DOE O 210.1 **Paragraph:** 5.b **Support Role:** DSOs

Develop incentives to encourage contractors in the achievement of desired levels of ES&H performance in critical areas through the use of ES&H performance indicators.

Notes: The contracting officer (FEM) is responsible for developing specific ES&H incentives for their contractors. EM HQ provides policy, guidance, and review s specific incentives.

ID: 6.2.02 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.h **Support Role:**

Ensure that the requirements in the Contractor Requirements Document for DOE O 232.1A are applied to applicable contracts within three months after approval of this Order.

Notes: The contracting officer (FEM) is responsible ensuring the ORPS CRD is included in contracts.

ID: 6.2.08 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.e **Support Role:**

If deemed appropriate, delegate authority for initiating Roll-Up Reports and approval of Final "Off-Normal" Occurrence Reports from the cognizant Program Manager to the cognizant DOE Facility Representative.

Notes: Delegation Memo 7

ID: 6.2.10 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.i **Support Role:**

Ensure initiators of procurement requests identify in procurement requests whether the requirements in the Contractor Requirements Document for DOE O 232.1A are to be applied to the award or sub-awards resulting from the procurement request and any special instructions for the application of the Contractor Requirements Document

Notes: The contracting officer (FEM) is responsible ensuring the ORPS CRD is included in contracts.

ID: 6.3.01 **Directive:** DOE O 231.1 **Paragraph:** 5.a **Support Role:**

Meet the reporting requirements in DOE M 231.1-1, Chapters II and III

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: FEM

ID: 6.3.02 **Directive:** DOE O 231.1 **Paragraph:** 5.a(1) **Support Role:**

Report work-related fatalities, injuries, and illnesses occurring among DOE and contractor employees arising out of work performed at DOE-owned or -leased facilities in accordance with DOE M 231.1-1, Chapter II, paragraph 2a.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 6.3.03 **Directive:** DOE O 231.1 **Paragraph:** 5.a(5) **Support Role:**

Report interim exposure data reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 1 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Report work-related ionizing radiation exposure data pertaining to an individual who visits a DOE or DOE contractor site or facility to the Radiation Records Repository, to the individual's employer, and to that individual.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 6.3.04 **Directive:** DOE O 231.1 **Paragraph:** 5.a(6) **Support Role:**

Report annual exposure data in accordance with DOE M 231.1-1, Chapter III, paragraphs 2 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") DOE facility directors shall report ionizing radiation exposure data summaries to the Radiation Records Repository for each monitored person.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 6.3.05 **Directive:** DOE O 231.1 **Paragraph:** 5.a(7) **Support Role:**

Submit radiological exposure reports to individuals in accordance with DOE M 231.1-1, Chapter III, paragraph 4. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Radiological exposure data pertaining to a visit to a DOE or DOE contractor site by an individual shall be provided as a report to that individual.

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 6.3.06 **Directive:** DOE O 231.1 **Paragraph:** 5.a(9) **Support Role:**

Submit epidemiological analyses -- Excess Injuries and Illnesses in accordance with DOE M 231.1-1, Chapter II paragraph 4. Notify the Assistant Secretary for Environment, Safety and Health of suspected excesses of illnesses or injuries that require epidemiological analyses to determine if the excesses are work related

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

ID: 6.3.07 **Directive:** DOE O 231.1 **Paragraph:** 5.a(10) **Support Role:**

Submit OSH information in support of epidemiological studies conducted by external organizations in accordance with DOE M 231.1-1, Chapter II, paragraph 5. Submit OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies

Notes: Delegated to the "senior EM DOE Manager at each operations field office:" Delegation Memo 1

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OB

ID: 1.3 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.3 **Support Role:** ODs

Provide mission assignments and program guidance to FEMs.

Notes:

ID: 1.4 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.4.1 **Support Role:** ODs

Prepare the proposed budget for the program office and coordinate with the headquarters' Chief Financial Office

Notes:

ID: 1.4.05 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(1) **Support Role:** ODs

Leads in defining, planning, and budgeting for program needs, including operations, facilities, and projects.

Notes:

ID: 1.4.06 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(1) **Support Role:** ODs

Prepare programmatic budget requirements and guidance needed by Field Elements to develop budget data required at Headquarters for the CRB process. Submit guidance to the Office of Budget in a timely manner for issuance in the field budget call.

Notes:

ID: 1.4.07 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(2) **Support Role:**

Designate and maintain a principal point-of-contact for the budget formulation process.

Notes:

ID: 1.4.08 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(4) **Support Role:** ODs

Provide the Office of Budget with new or unforeseen field budget data requirements that need to be issued supplemental to the field budget call.

Notes:

ID: 1.4.09 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(5) **Support Role:**

Work through Field Office-designated budget points-of-contact rather than through direct interaction with contractors on field budget matters.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OB

ID: 1.4.10 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(6) **Support Role:** ODs

Develop CRB budget requests consistent with the Department's Strategic Plan, Secretarial decisions resulting from the spring planning process, the CRB budget call, and DOE Budget Formulation Instructions.

Notes:

ID: 1.4.11 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(7) **Support Role:** ODs

Develop OMB budget requests in compliance with final Secretarial budget decisions resulting from the CRB process, the OMB budget call, OMB Circular A-11, and DOE Budget Formulation Instructions reporting requirements.

Notes:

ID: 1.4.12 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(8) **Support Role:** ODs

Participate in OMB budget hearings and provide, through the Office of Budget, additional data if requested by OMB in support of the program's budget request.

Notes:

ID: 1.4.13 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(9) **Support Role:** ODs

Develop congressional budget requests in compliance with final Presidential policy and economic decisions, and supporting OMB funding allowance levels. Requests shall also comply with guidance, formats, and reporting requirements contained in OMB Circular A-11, the Congressional Budget Call, and DOE Budget Instructions.

Notes:

ID: 1.4.16 **Directive:** DOE O 130.1 **Paragraph:** 5.c.(3) **Support Role:**

Develop internal procedures and controls to ensure compliance with all CFO requirements and to ensure that a field budget data requirements are submitted through the field budget process to eliminate the need for unilateral budget requests to Field Elements.

Notes:

ID: 1.4.21 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(7) **Support Role:** DSOs

Support or, if delegated, lead the critical decision process for strategic systems funded by the program

Notes: OB provides the lead for budget; DSOs provide input to OB for Sites and Programs under their respective cognizance.

ID: 1.4.22 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(9) **Support Role:** DSOs

Issue policy relative to its programmatic planning, budgeting, and execution activities.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OB

ID: 1.4.24 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(14) **Support Role:** DSOs

For multi-program sites, provide support, including resources, to the program performing the responsibilities of the landlord.

Notes:

ID: 1.5 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.5 **Support Role:** ODs

Allocate resources consistent with the final approved budget to accomplish missions and safety initiatives.

Notes:

ID: 2.7 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.3 **Support Role:** DSOs

Prepare budget execution documents in accordance with DEAR, DOE Order 135.1, and DOE Manual 135.1-1 to allocate resources to contractors. Ensure funds and resources are appropriately used.

Notes:

ID: 2.7.01 **Directive:** DOE O 135.1 **Paragraph:** 5.c. **Support Role:** DSOs

Secretarial Officers shall submit proposed rescissions and deferrals to the Chief Financial Officer.

Notes:

ID: 2.7.02 **Directive:** DOE O 135.1 **Paragraph:** 5.g. **Support Role:** DSOs

Adhere to funds control processes and procedures as contained in DOE M 135.1-1, Budget Execution Manual.

Notes:

ID: 3.2.07 **Directive:** DOE O 451.1A **Paragraph:** 5.a(6) **Support Role:** ODs

Incorporate NEPA compliance status information in internal budget review documents.

Notes:

ID: 4.1.1.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.2.b **Support Role:** DSOs OSHS

Ensure that the requirements are consistent with budget and policy for each facility.

Notes:

ID: 4.4.16 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(5) **Support Role:** DSOs OSHS

Ensure that safeguards and security budget proposals are adequate, and that resources are provided to implement them.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OB

ID: 4.5.03 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(b) **Support Role:** DSOs OSHS

Ensure funding and resources are adequate for DOE facilities and activities for the continuing and effective implementation of emergency management programs, and that emergency response assets and capabilities are appropriately maintained.

Notes:

ID: 5.2.28 **Directive:** DOE O 4330.4B **Paragraph:** 9.e(1) **Support Role:** DSOs

Ensure that resources are provided to keep property maintained in a reasonable and economic manner and to ensure that the maintenance backlog remains consistent with DOE goals and objectives.

Notes:

ID: 5.2.31 **Directive:** DOE O 4330.4B **Paragraph:** 9.e(4) **Support Role:** DSOs

Provide guidance on matters concerning incorporation of maintenance activities in annual budget requests.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: ODs

ID: 2.3 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.3 **Support Role:** OSHS

Review and comment on proposed rules. Recommend technical and cost-saving improvements where appropriate. Provide staff to participate on focus groups or technical development teams.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OIPA

ID: 3.2.08 **Directive:** DOE O 451.1A **Paragraph:** 5.a(7) **Support Role:**

Submit an annual NEPA planning summary to the Assistant Secretary for Environment, Safety and Health by January 31 of each year and make it available to the public.

Notes:

ID: 4.8.06 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:**

Track the status of agreement and agreement modification negotiations

Notes: Delegation Memo 8

ID: 4.8.07 **Directive:** DOE/EM-1 Memo **Paragraph:** **Support Role:**

Prepare quarterly "Environmental Compliance Agreement/Negotiation in Progress" table for EM-1

Notes: Delegation Memo 8

ID: 6.3.08 **Directive:** DOE O 231.1 **Paragraph:** 5.b(1)(a) **Support Role:**

Report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision

Notes:

ID: 6.3.09 **Directive:** DOE O 231.1 **Paragraph:** 5.b(1)(b) **Support Role:**

Prepare an annual National Environmental Policy Act planning summary

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 1.4.19 **Directive:** DOE O 430.1A **Paragraph:** 7.c.(5) **Support Role:** DSOs

Develop, document, and maintain a system to prioritize the acquisition of programmatic physical assets, including upgrades.

Notes:

ID: 1.4.37 **Directive:** DOE O 430.1A **Paragraph:** 7.d.(6) **Support Role:** DSOs

Develop, document, and maintain a system to prioritize the acquisition of nonprogrammatic physical assets.

Notes:

ID: 1.6 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.6.1.a **Support Role:** DASs ODs

At defense nuclear facilities: Provide adequate resources and support for the Federal Technical Capability Program

Notes: All supervisors and managers support this effort through OMI

ID: 1.6.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.6.1.b **Support Role:** DSOs

At defense nuclear facilities: Implement the Federal Technical Capability Program for their organizations

Notes:

ID: 1.6.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.6.1.b **Support Role:** DSOs

At defense nuclear facilities: Implement the Federal Technical Capability Program for their organizations

Notes:

ID: 1.6.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.6.1.c **Support Role:** DASs ODs

Ensure that personnel are qualified to perform their safety management functions and that these qualifications are reflected in position descriptions and performance criteria.

Notes:

ID: 1.6.05 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(2) **Support Role:**

Prioritize critical needs, provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 1.6.06 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(3) **Support Role:**

Define mandatory training requirements for employees in their element, including manager and supervisor training among other responsibilities.

Notes:

ID: 1.6.07 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(4) **Support Role:**

Ensure efficient and effective management of training programs for their elements' workforces.

Notes:

ID: 1.6.09 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(6) **Support Role:**

Assign responsibilities for training requirements and functions, including designation of a training official(s) and DOE point of contact and an alternate for training programs.

Notes:

ID: 1.6.10 **Directive:** DOE O 360.1A **Paragraph:** 5.f.(7) **Support Role:**

Approve their elements' participation in training agreements governing multi-element programs.

Notes:

ID: 1.6.15 **Directive:** DOE M 360.1A **Paragraph:** V.5.a **Support Role:**

Develop and implement a Technical Qualification Program Plan as a separate component of its training plan. Technical Qualification Program Plans must be approved by the head of the element and include the process and requirements for the following: (1) identifying personnel and positions required to participate in the Technical Qualification Program; (2) identifying and maintaining technical qualification standards or individual qualification requirements, as appropriate; (3) evaluating employees against qualification standards and documenting the approval of equivalencies for DOE-wide competencies; (4) establishing and updating individual development plans, training plans, qualification cards or related records to document learning activities; (5) implementing continuing training and requalification programs; and (6) applying evaluation requirements for completing the technical qualification standard (e.g., written or oral examinations).

Notes:

ID: 1.6.16 **Directive:** DOE M 360.1A **Paragraph:** V.5.b.(1) **Support Role:**

Qualification requirements must be documented by each DOE element in qualification standards or other appropriate means. These requirements must be established using the systematic approach to training methodology and include the necessary basic technical knowledge; technical discipline competency requirements; and position-specific knowledge, skills, and abilities.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 1.6.17 **Directive:** DOE M 360.1A **Paragraph:** V.5.a **Support Role:**

Designate the positions in their respective organizations required to participate in the Technical Qualification Program and the applicable qualification standard(s).

Notes:

ID: 1.6.20 **Directive:** DOE O 5480.20A **Paragraph:** 7.a.(4) **Support Role:**

Assure that Secretarial Office personnel responsible for training are proficient in personnel training processes and requirements, and that they have diverse expertise so that important areas related to nuclear and occupational safety are covered;

Notes:

ID: 2.6 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.6 **Support Role:** DASs ODs

Jointly (PSO, EH, and FEM) develop and submit a list of highly qualified senior technical safety managers to the Deputy Secretary for review and approval for use in forming review teams.

Notes: All supervisors and managers support this effort through OMI

ID: 4.2.08 **Directive:** DOE O 5480.21
DOE O 5480.22 **Paragraph:** 9.a.(9) **Support Role:** DSOs

Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").

Notes: FEM is almost exclusively the procurement request originator; therefore, the FEM typically exercises this authority. No delegation is necessary since these Orders assign the responsibilities to PSO and FEM.

ID: 4.4.45 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Assess technology issues, ascertain best security practices, and evaluate the changing nature of threats facing EM organizations and sites.

Notes:

ID: 4.4.46 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Develop, implement, and maintain a Cyber Security Program Plan (CSPP).

Notes:

ID: 4.4.47 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Provide policy and best practice recommendations to the DOE CIO.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 4.4.48 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Identify the systems or enclaves that require protection and auditing, and the type of protection and auditing that must be employed.

Notes:

ID: 4.4.49 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Coordinate joint responsive activities to cyber security advisories, bulletins, alerts, and suspected incidents in accordance with the CSPP.

Notes:

ID: 4.4.50 **Directive:** DOE N 205.1 **Paragraph:** **Support Role:** OSHS

Ensure all EM organizations and contractors are trained in cyber security vulnerabilities, threats, protection strategies, and respective responsibilities.

Notes:

ID: 6.1.09 **Directive:** DOE O 442.1 **Paragraph:** 5.b.(2) **Support Role:**

Direct the ECP and provide adequate resources and training for effective implementation.

Notes:

ID: 6.1.10 **Directive:** DOE O 442.1 **Paragraph:** 5.b.(3) **Support Role:**

Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.

Notes:

ID: 6.1.11 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(1) **Support Role:**

Develop and submit ECP program implementation documentation to the Secretarial Officer . . . for approval.

Notes:

ID: 6.1.12 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(2) **Support Role:**

Implement the approved ECP and ensure concerns are processed as required by this Order.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 6.1.13 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(3) **Support Role:**

Publicize ECP processes, employee rights and responsibilities to report concerns through these processes, an management's intolerance for reprisals against employees who have reported concerns.

Notes:

ID: 6.1.14 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(4) **Support Role:**

Maintain an employee concerns tracking system and a secure filing system.

Notes:

ID: 6.1.15 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(5) **Support Role:**

Decide which concerns that are brought to the attention of the ECP. The ECP office should seek to resolve, which warrant referral or transfer to another office for further review, or which warrant no further action.

Notes:

ID: 6.1.16 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(6) **Support Role:**

Assist in evaluation and resolution of employee concerns.

Notes:

ID: 6.1.17 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(7) **Support Role:**

Transfer concerns to other programs or processes if the concern is deemed to be outside the scope of the ECP Review and evaluate responses from other organizations to which concerns were referred, request further action when necessary, and provide feedback to those organizations that have a need to know about the outcome of the ECP process.

Notes:

ID: 6.1.18 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(8) **Support Role:**

Document that an individual, office, or organization has accepted responsibility for minimizing, correcting, and preventing recurrence of concerns that have been substantiated through the ECP process.

Notes:

ID: 6.1.19 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(9) **Support Role:**

Prepare quarterly and annual reports and review them for lessons learned and possible adverse trends.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OMI

ID: 6.1.20 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(10) **Support Role:**

Use self-assessment or outside review to conduct management assessments of their ECPs. Assess the result with the Headquarters or field element manager, and take any necessary actions to improve program operation:

Notes:

ID: 6.1.21 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(11) **Support Role:**

Coordinate with DOE contracting officers to determine the existence of contract requirements for the establishment of contractor ECPs and the means and criteria by which such contractor ECPs will be evaluated.

Notes:

ID: 6.1.22 **Directive:** DOE O 442.1 **Paragraph:** 5.c.(12) **Support Role:**

Advise appropriate levels of management when actions are either ineffective or not timely in resolving concerns or correcting identified deficiencies.

Notes:

ID: 6.2.09 **Directive:** DOE M 232.1-1A **Paragraph:** 4.2.g **Support Role:**

Ensure training programs are established for both DOE and contractor personnel.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OPA

ID: 1.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.1 **Support Role:** ODs

Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's Mission Statement.

Notes:

ID: 1.2 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.2 **Support Role:** ODs

Prepare Secretarial Office strategic plans and mission statements, and submit them to the Deputy Secretary for approval. Implement DOE and Secretarial Office strategic plans and mission statements.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OPA OB

ID: 1.2.01 **Directive:** DOE O 413.1 **Paragraph:** 4.a(3) **Support Role:** ODs

Heads of Departmental Elements shall: consider reportable problems in the strategic planning and budgeting processes. (According to DOE G 120.1-5: Government Performance and Results Act of 1993 requires each Federal Agency to develop strategic plans prior to FY 1998, which include a comprehensive mission statement)

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSC OPC

ID: 1.4.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.1.4.2 **Support Role:**

LPSO Principal Deputy for Operations Responsibilities: Assist the LPSO in managing operational functions and activities.

Notes:

ID: 4.2.06 **Directive:** DOE O 5480.21 **Paragraph:** 9.a.(7) **Support Role:**

Ensure that Program Managers oversee the implementation of changes within the purview of this Order

Notes:

ID: 4.7.07 **Directive:** DOE O 435.1 **Paragraph:** I, 2.E.(1) **Support Role:**

Review and approve, along with EH-1, transuranic waste disposal facility performance assessments and other disposal documents as required in waste specific chapters for which DOE is responsible for making compliance determinations. Review and approve performance assessments and composite analyses, or appropriate CERCLA documentation, for low-level waste disposal facilities, and issuing disposal authorization statements.

Notes: EPA is responsible for review and approval of Performance Assessments for WIPP

ID: 4.7.08 **Directive:** DOE O 435.1 **Paragraph:** I, 2.E.(1)(a) **Support Role:**

Establish a review panel consisting of DOE personnel to review low-level waste disposal facility performance assessments and composite analyses, review appropriate CERCLA documentation, recommend low-level waste disposal facility compliance determinations . . . , and develop disposal authorization statements.

Notes:

ID: 4.7.09 **Directive:** DOE O 435.1 **Paragraph:** I, 2.E.(1)(b) **Support Role:**

Issue disposal authorization statements containing conditions that low-level waste disposal facilities must meet in order to operate with an approved radioactive waste management basis.

Notes:

ID: 4.7.10 **Directive:** DOE O 435.1 **Paragraph:** I,2.E.(2) **Support Role:**

Review and approve closure plans and other closure documentation for deactivated high-level waste facilities/sites and issuing authorization for closure activities to proceed.

Notes:

ID: 6.2.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.2 **Support Role:** DSOs OSHS

Approve corrective actions proposed [for occurrence reports] or delegate this authority

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSC OPC

ID: 6.2.13 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.c **Support Role:** DSOs

Ensure that the Headquarters Emergency Operations Center is informed of how the Program Manager or Designees can be reached at all times.

Notes:

ID: 6.2.14 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.d **Support Role:**

Ensure that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action

Notes: Delegation Memo 10

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 2.2.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.2 **Support Role:** ODs

If EM is the OPI: Identify established consensus standards for use by DOE, or document need for a DOE Technical Standard. Approve final DOE Technical Standards and send to DOE Technical Standards Manager for issuance. Prepare draft DOE Technical Standards when these are consistent with Department mission and consistent with PL 104-113. Coordinate draft DOE Technical Standards in accordance with directions from the DOE Technical Standards Program.

Notes:

ID: 2.2.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.2 **Support Role:** ODs

If EM is not the OPI: Review and comment on proposed DOE Technical Standards. Recommend technical and cost-saving improvements where appropriate. Provide staff to participate on focus groups or technical development teams. Ensure proposed DOE Technical Standards are consistent with program office missions.

Notes:

ID: 2.2.04 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.2 **Support Role:** ODs

Review and comment on proposed DOE Technical Standards.

Notes:

ID: 2.2.05 **Directive:** DOE O 252.1 **Paragraph:** 5.b.(1) **Support Role:**

Manage their organization's participation in the DOE Technical Standard Program (TSP).

Notes:

ID: 2.2.06 **Directive:** DOE O 252.1 **Paragraph:** 5.b.(2) **Support Role:**

Designate a TSM to serve as the organization's point of contact for technical standards activities and coordinate with the TSP by participating in the TSMC.

Notes:

ID: 2.2.07 **Directive:** DOE O 252.1 **Paragraph:** 5.b.(3) **Support Role:**

Ensure that technical standards identified or developed by their elements for DOE-wide use are products of the TSP or recognized standards development organizations.

Notes:

ID: 2.5.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.5 **Support Role:**

Prepare FRAMs for each organization to delineate how the applicable responsibilities and authorities in this manual are performed.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.1.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.2.a **Support Role:** DSOs

Ensure that an authorization agreement is agreed-upon between the contractor and DOE for Hazard Category 2 facilities.

Notes:

ID: 4.1.1.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.4.1.2.b **Support Role:** DSOs

Review and approve the proposed specific requirements to be included in . . . authorization agreements.

Notes:

ID: 4.2.12 **Directive:** DOE O 5480.22 **Paragraph:** 8.a.(7) **Support Role:**

Provide guidance and assistance to field organizations in the performance of safety reviews, appraisals, and the preparation of Technical Safety Requirements.

Notes: Delegation Memo 10

ID: 4.2.19 **Directive:** DOE O 5480.23 **Paragraph:** 7.b.(8) **Support Role:** DSOs

Keep EH advised of nuclear safety or nonnuclear, occupational safety and health problems, deficiencies, needs and actions taken under DOE Order 5480.23.

Notes: Delegation Memo 10

ID: 4.4.02 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(1).(a).1 **Support Role:** OMI

In coordination with the NN-1, ensure adequate protection is afforded safeguards and security interests.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.03 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(1).(a).2 **Support Role:**

In coordination with the NN-1, establish action criteria, including curtailment or suspension of operations, for operations that would result in an immediate and unacceptable risk to national security, the health and safety of employees, the public, or the environment.

Notes:

ID: 4.4.04 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(1).(b) **Support Role:**

Coordinate construction or alteration projects of facilities having a safeguards or security interest with the Director of Security Affairs and the Associate Deputy Secretary for Field Management.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.4.05 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(1).(c) **Support Role:**

Request establishment of safeguards and security activities and facility clearance(s) through the Office of Safeguards and Security. Notify the Office of Safeguards and Security to terminate registration of such activities and facility clearances.

Notes:

ID: 4.4.06 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(2) **Support Role:** OMI

Implement a security program consistent with the Headquarters Security Plan for Washington, D.C. area facilities and programs.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.08 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4) **Support Role:**

Ensure that each request for a procurement requiring application of this Order incorporates the requirements specified in the Contractor Requirements Document (Attachment 1).

Notes:

ID: 4.4.09 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(a) **Support Role:**

Designate individual(s) to notify contracting officers of each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").

Notes:

ID: 4.4.10 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(b).1 **Support Role:**

Ensure the . . . contracting officer provides DOE F 5634.2, "Contract Security Classification Specification," to the servicing safeguards and security office.

Notes:

ID: 4.4.11 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(b).2 **Support Role:**

Ensure the . . . contract clauses set forth in the DOE Federal Acquisition Regulation and other relevant sections of 48 CFR Chapter IX are included in contracts, as applicable.

Notes:

ID: 4.4.12 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(b).3 **Support Role:**

Ensure the . . . contracting officers incorporate provisions implementing the requirements of this Order in new and existing contracts that involve access authorizations, classified information, nuclear and other hazardous material presenting a potential radiological or toxicological sabotage threat, or Departmental property valued at more than \$5,000,000.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.4.13 **Directive:** DOE O 470.1 **Paragraph:** 5.a(4)(b)4 **Support Role:**

Ensure the . . . contractual coverage is in place to permit implementation of this Order with regard to the contractor's nuclear materials activities before initiation of any action involving nuclear materials with a license-exempt (as defined in 10 CFR Part 50) contractor.

Notes:

ID: 4.4.14 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(b).5 **Support Role:**

Ensure the . . . Non-DOE funded work under their jurisdiction is provided protection in accordance with the Departmental safeguards, security, and classification policies.

Notes:

ID: 4.4.15 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(4).(c). **Support Role:** OMI

Appoint within their contracting activity a trained DOE employee as the Foreign Ownership, Control, and Influence (FOCI) point-of-contact.

Notes:

ID: 4.4.17 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(6) **Support Role:** OMI

Participate in the development and review of policy and standards for safeguards and security interests.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.18 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(7) **Support Role:** OMI

Identify technological needs to the Office of Security Affairs for consideration in the safeguards and security technology development program.

Notes: OMI involvement if relates to cyber issues

ID: 4.4.19 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(8) **Support Role:**

Implement the Classified Visits Program in accordance with Chapter VIII [of this DOE 470.1].

Notes:

ID: 4.4.21 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(8).(b) **Support Role:**

Maintain records of individuals approved by their organizations to have continuing access on the basis of DOE C and L access authorizations or Department of Defense or National Aeronautics and Space Administration certifications, and notify the Director of Safeguards and Security when such approvals are granted or canceled.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.4.29 **Directive:** DOE O 5632.1C **Paragraph:** 6.g **Support Role:** OMI

Ensure protection and control of safeguards and security interests.

Notes: OMI involvement if relates to cyber issues.

ID: 4.4.30 **Directive:** DOE O 5632.1C **Paragraph:** 6.g **Support Role:** OT

Serve as the primary point of contact with the transportation industry and with Federal, State, and Local agencies in implementing the Department transportation policies and standards for hazardous material, special nuclear material or other classified matter.

Notes:

ID: 4.4.31 **Directive:** DOE O 5633.3B **Paragraph:** 6.a.(1) **Support Role:**

Provide oversight for the implementation of the material control and accountability of nuclear materials for all DOE activities under their jurisdiction in conformity with policies, procedures, planning and other requirements set forth in the DOE safeguards and security series directives and set policies and requirements for nuclear material not specifically covered.

Notes:

ID: 4.4.32 **Directive:** DOE O 5633.3B **Paragraph:** 6.a.(2) **Support Role:**

Ensure that responsibilities and authorities for materials control and accountability of nuclear materials are addressed in Memorandums of Agreement and associated appendices between Heads of HQ Elements and Managers of Operations Offices.

Notes:

ID: 4.4.33 **Directive:** DOE O 5633.3B **Paragraph:** 6.a.(3) **Support Role:**

Ensure that self-assessment offices conduct independent assessments of the adequacy of DOE and contractor performance of their responsibilities for material control and accountability of nuclear materials.

Notes:

ID: 4.4.34 **Directive:** DOE O 5633.3B **Paragraph:** 6.a.(4) **Support Role:**

Ensure an individual(s) is designated to be responsible for bringing to the attention of the contracting officer each procurement falling w/in the scope of this order

Notes:

ID: 4.4.35 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(1) **Support Role:**

Ensure that the Personnel Security Assurance Program (PSAP) is implemented for all applicable operations and/or activities for which they have programmatic responsibility.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.4.36 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(2) **Support Role:**

Recommend Headquarters positions for inclusion under PSAP when those positions are not identified as PSAF positions under 10 CFR 710.55(a) and (b).

Notes:

ID: 4.4.37 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(3) **Support Role:**

Submit interim access authorization requests to the Director of Security Affairs, through the Director of Safeguards and Security, in accordance with Chapters I-IX of DOE 5631.2C.

Notes:

ID: 4.4.38 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(4) **Support Role:**

Determine the access authorization requirement, if any, for each position under their cognizance occupied by a DOE employee, applicant for employment, consultant, or other agency assignee and, when appropriate, ensure that access authorization requirements are stated in position descriptions, vacancy announcements, consultative agreements, and agreements with other agencies that provide for assignees to DOE.

Notes:

ID: 4.4.39 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(5) **Support Role:**

Ensure that all requests for staff access authorizations are coordinated with their Servicing Personnel Office.

Notes:

ID: 4.4.41 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(7) **Support Role:**

Provide written verification of the continuing need for access authorizations by individuals under their cognizance when periodically requested to do so by the Director of Safeguards and Security.

Notes:

ID: 4.4.42 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(8) **Support Role:**

Provide written notification to the Director of Safeguards and Security of the following conditions affecting access authorizations for individuals under their cognizance: (a) within 2 working days for termination of an individual's access authorization; (b) within 8 working hours upon becoming aware that an individual has been hospitalized or is otherwise being treated for a mental illness or such other condition as may cause a significant defect in the individual's judgment or reliability; and (c) within 2 working days of becoming aware of derogatory information of personnel security interest concerning the individual. Such information must be reliable and relevant in terms of the clearance criteria exemplified in 10 CFR 710.8 (a copy of which may be obtained from the Director of Safeguards and Security).

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.4.43 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(9) **Support Role:**

Ensure that individuals under their cognizance granted, or in process for, access authorizations are aware of the reporting requirements.

Notes:

ID: 4.4.44 **Directive:** DOE O 472.1B **Paragraph:** 5.a.(10) **Support Role:**

Designate a staff representative(s) responsible for administering the coordinating functions required by, and the review of procurement falling within the scope of, this Order and Chapters I-IX of DOE 5631.2C. Unless a designation is made, procurement originators shall be responsible for coordinating the requirements of this Order and Chapters I-IX of DOE 5631.2C, with the Director of Safeguards and Security.

Notes:

ID: 4.4.51 **Directive:** DOE N 205.2 **Paragraph:** **Support Role:** OMI

Ensure foreign national access to DOE cyber systems (include computers, networks, and associated servers, as well as data storage, switching, display, and control devices) continues to advance DOE program objectives while enforcing information access restrictions.

Notes:

ID: 4.4.52 **Directive:** DOE N 205.2 **Paragraph:** **Support Role:** OMI

Assess and approve access by foreign nationals to DOE cyber systems.

Notes:

ID: 4.4.53 **Directive:** DOE N 205.2 **Paragraph:** **Support Role:** OMI

Periodically audit approvals of foreign nationals to DOE cyber systems.

Notes:

ID: 4.40 **Directive:** DOE O 470.1 **Paragraph:** 5.a.(8).(a) **Support Role:**

Designate specific facilities where visits may be made only with the approval of the organization having program responsibility, and inform Heads of DOE Elements.

Notes:

ID: 4.5.02 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(a) **Support Role:**

Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 4.5.04 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(c) **Support Role:**

Develop, in coordination with the Operations/Field Office, the [Director of the Office Field Integration], EH-1, and the Director of Emergency Management contractor performance measures and criteria.

Notes:

ID: 4.5.05 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(d) **Support Role:**

Ensure full coordination with the Director of Emergency Management on all emergency management activities.

Notes:

ID: 4.5.06 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(e).(1) **Support Role:**

Ensure . . . Readiness assurance activities are performed, and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director of Emergency Management.

Notes:

ID: 4.5.07 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(e).(2) **Support Role:** OMI

Ensure . . . A system/program is established and maintained for 24-hour initial receipt and further dissemination of emergency notifications; and a current listing of personnel designated to perform the function is maintained and routinely provided to the Director of Emergency Management.

Notes: OMI involvement if relates to cyber issues.

ID: 4.5.08 **Directive:** DOE O 151.1 **Paragraph:** 1.7.(e).(3) **Support Role:**

Ensure . . . Specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.

Notes:

ID: 5.3.08 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(5) **Support Role:**

Perform management and independent assessments to evaluate the adequacy and implementation of their Headquarters element QAP and to improve organizational performance.

Notes:

ID: 5.3.09 **Directive:** DOE O 414.1A **Paragraph:** 5.b.(6) **Support Role:**

Designate individual(s) to be responsible for bringing the following to the attention of the appropriate Contracting Officer: (a) each procurement requiring application of the CRD (Attachment 1) and 10 CFR 830.120, where applicable, (b) requirements for flow down of provisions of the CRD to any subcontract or sub-award, and (c) the provisions of the CRD with which the contractor or subcontractor is to comply.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OSHS

ID: 6.1 **Directive:** DOE M 411.1-1A **Paragraph:** 9.6.1.1 **Support Role:**

Implement a lessons-learned program

Notes: OSHS is responsible for dissemination of Lessons Learned for ES&H

ID: 6.2.17 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.g **Support Role:**

Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.

Notes: Delegation Memo 9

ID: 6.2.18 **Directive:** DOE M 232.1-1A **Paragraph:** 4.5.h **Support Role:**

Ensure that Occurrence Reports are prepared and transmitted in accordance with DOE security requirements

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OT

ID: 4.1.5.02 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(5) **Support Role:**

Review and process applications for DOT exemptions . . .

Notes:

ID: 4.6.01 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1) **Support Role:**

Serve as the Headquarters Certifying Official responsible for administering the DOE program for certification of fissile and Type B packagings.

Notes:

ID: 4.6.02 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(a).1 **Support Role:**

The DOE program for certification of fissile and Type B packagings includes: Establishing packaging standards

Notes:

ID: 4.6.03 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(a).2 **Support Role:**

Provide guidance for the preparation of Safety Analysis Reports for Packaging [for certification of fissile and Type B packagings]

Notes:

ID: 4.6.04 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(a).3 **Support Role:**

Review and approve packaging designs for fissile and Type B packages

Notes:

ID: 4.6.05 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(a).4 **Support Role:**

Issuing DOE Certificates of Compliance to approved designs [for certification of fissile and Type B packagings]

Notes:

ID: 4.6.06 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(a).5 **Support Role:**

Reviewing and recertifying certificates [for certification of fissile and Type B packagings]

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OT

ID: 4.6.07 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(1).(b) **Support Role:**

The Safety Analysis Report for Packaging must demonstrate that the package will satisfy the standards of 10 CFR 71 Subparts E and F, the quality assurance program of Subpart H, and any other standards that the Headquarters Certifying Official may determine applicable for granting a Certificate of Compliance

Notes:

ID: 4.6.08 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(2) **Support Role:**

Approve DOE contractor facilities for test and evaluation of DOT Specification 7A Type A package designs for radioactive materials.

Notes:

ID: 4.6.09 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(3) **Support Role:**

Test and evaluate packagings designed by DOE facilities for use for Type A shipments to DOT Specification 7A Type A performance requirements, and document qualified packagings in the "Test and Evaluation Document for DOT 7A Type A Packaging."

Notes:

ID: 4.6.10 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(4) **Support Role:**

Provide the point of coordination for DOE with DOT, NRC, Environmental Protection Agency, International Atomic Energy Agency, and other regulatory agencies concerning domestic and international transportation safety and packaging regulations, packaging certification, and modal safety regulations.

Notes:

ID: 4.6.11 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(5) **Support Role:**

Review and process applications for DOT exemptions and exemption renewals, and review and grant DOE from the requirements of this Order.

Notes:

ID: 4.6.12 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(6) **Support Role:**

Review requests for DOT Certificates of Competent Authority for international transportation and NRC Certificates of Compliance and forward requests to the appropriate agency.

Notes:

ID: 4.6.13 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(7) **Support Role:**

Support the sharing of packaging and transportation safety successes, problems, and corrective actions with other DOE Elements and the field through the use of an effective lessons learned program.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OT

ID: 4.6.14 **Directive:** DOE O 460.1A **Paragraph:** 5.a.(8) **Support Role:**

Provide technical assistance and training for packaging and transportation safety matters.

Notes:

ID: 4.6.15 **Directive:** DOE O 460.1A **Paragraph:** 5.b **Support Role:** OMI

Review the Safety Analysis Reports for Packaging and the applications for DOE Certificate of Compliance for those facilities or activities for which the Secretarial Officer is responsible prior to submittal to the Assistant Secretary for Environment Management.

Notes:

ID: 4.6.16 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(1) **Support Role:**

Establishes policy and guidance for DOE materials and packaging management and assists DOE Elements a contractors on related matters.

Notes:

ID: 4.6.17 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(2) **Support Role:**

Represents DOE in matters dealing with transportation and packaging operations with other Federal entities.

Notes:

ID: 4.6.18 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(3) **Support Role:**

Coordinates DOE review of, participation in, and comment on international, Federal, State, and local, and tribal transportation and packaging operations regulations.

Notes:

ID: 4.6.19 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(4) **Support Role:**

Develops and submits petitions for rulemaking actions concerning transportation and packaging operations related matters.

Notes:

ID: 4.6.21 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(6) **Support Role:** OMI

Develops, implements, and maintains computerized systems to support transportation and packaging management including ATMS, SMAC, and TRANSCOM. Reviews and approves requests for use of the TRANSCOM system and for exceptions or alternatives to ATMS/SMAC reporting.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OT

ID: 4.6.22 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(5) **Support Role:** OMI

Establishes and manages a transportation logistics program that includes the oversight of the DOE Motor Carrier Evaluation Program (MCEP); the negotiation of DOE freight rates and rules; the maintenance of centralized files for MCEP reports, freight rate tenders, and contracts; and interfaces with other Federal and commercial entities on such matters as bill-of-lading audits, requests for military transportation services or equipment, and availability of commercial transport equipment to meet programmatic requirements.

Notes:

ID: 4.6.22 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(7) **Support Role:**

Develops and provides initial and recurrent training on domestic and international transportation and packaging regulations, carrier and carrier association rules, and implementing DOE Orders.

Notes:

ID: 4.6.23 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(8) **Support Role:**

Reviews supporting documentation for explosives classification and files the applications with DOT for registration.

Notes:

ID: 4.6.24 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(9) **Support Role:**

Conducts technical assessments of DOE Field Elements, including related contractors, and as needed, provide assistance in transportation and packaging management activities to ensure compliance with applicable requirements.

Notes:

ID: 4.6.25 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(10) **Support Role:**

Conducts formal needs assessments involving DOE Field Elements and contractors to identify and prioritize emerging transportation and packaging needs.

Notes:

ID: 4.6.26 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(10).(a) **Support Role:**

Develops and maintains a catalog of packagings used including owner, available inventory, operating and maintenance instructions, and approved contents.

Notes:

ID: 4.6.27 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(10).(b) **Support Role:**

Serves as a clearinghouse for redeployment of current, programmatically excess, and decertified packagings.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OT

ID: 4.6.28 **Directive:** DOE O 460.2 **Paragraph:** 5.a.(11) **Support Role:**

Prepares and maintains the DOE's annual Packaging Management Plan and Transportation and Packaging Research and Development Plan, with input on objectives, schedules, roles and responsibilities, and funding sources from all DOE program elements.

Notes:

ID: 4.6.30 **Directive:** DOE O 460.2 **Paragraph:** 5.b.(2) **Support Role:** OMI

Coordinate program-related transportation plans, proposed transportation computerized systems, transportation systems studies, and packaging development activities; training requirements, reports, and analyses with EM-1 to ensure consistency of policy and avoid duplication of efforts.

Notes:

ID: 4.6.31 **Directive:** DOE O 460.2 **Paragraph:** 5.b.(3) **Support Role:**

Designate an individual(s) cognizant of program plans and requirements to serve as the point of contact for transportation and packaging interface(s) and integration of transportation and packaging activities into program planning.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OTPI

ID: 4.7.03 **Directive:** DOE O 435.1 **Paragraph:** I, 2.B.(2) **Support Role:**

Ensure changes to regulations and DOE directives are reviewed and, when necessary, incorporated into revisions of this Manual to ensure the basis for safe radioactive waste management facilities, operations, and activities is maintained.

Notes:

ID: 4.7.04 **Directive:** DOE O 435.1 **Paragraph:** I, 2.D.(1) **Support Role:**

Develop, implement, and maintain integrated Complex-Wide Radioactive Waste Management Program Plans for high-level, transuranic, low-level, and mixed low-level waste. Each plan shall, at the DOE complex-wide level, describe the functional elements, organizations, responsibilities, and activities that comprise the system needed to store, treat and dispose of radioactive waste in a manner that is protective of the public, workers, and the environment.

Notes:

ID: 4.7.05 **Directive:** DOE O 435.1 **Paragraph:** I, 2.D.(1).(a and b) **Support Role:**

Plans shall present a waste management strategy that integrates waste projections and life-cycle waste management planning into complex-wide facility configuration decisions and describe the approach to research and technology development being pursued to improve safety and/or efficiency in managing radioactive waste.

Notes:

ID: 4.7.06 **Directive:** DOE O 435.1 **Paragraph:** I, 2.D.(2) **Support Role:** OMI

Establishing and maintaining a system to compile waste generation projection data and other information concerning radioactive waste management facilities, operations, and activities across the complex.

Notes:

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OTPI OT

ID: 2.1.01 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.a **Support Role:**

If EM is the Office of Primary Responsibility (OPI): Prepare draft directives using Department resources as appropriate to ensure development of a quality product consistent with Department missions. Submit final draft directives that have the potential to affect field operations and more than one PSO to the FMC for review.

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.02 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.a **Support Role:**

If EM is the OPI: For submission to the FMC, a Deputy Assistant Secretary or higher official in the OPI must approve the draft and its accompanying justification documents.

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.03 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.b **Support Role:**

If EM is the OPI: Revise directives as necessary and provide technical interpretation of directive requirements.

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.05 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.c **Support Role:**

If EM is the OPI: Submit final draft Policies, Orders, Notices, Manuals, Guides, and Page Changes to MA-1 for issuance

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.06 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.d **Support Role:**

If EM is the OPI: Designate a Directive Development Manager to coordinate review of directives (see DOE M 251.1-1A)

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.07 **Directive:** DOE M 411.1-1A **Paragraph:** 9.2.2.1.e **Support Role:**

If EM is the OPI: Identify the program offices that have the potential to be affected and coordinate with PSO for that program office for review and comment; coordinate with program counsel in the Office of General Counsel for review and comment

Notes: OTPI for DOE O & M 435.1, OT for DOE O 460.1A & 460.2

ID: 2.1.09 **Directive:** DOE M 251.1-1A **Paragraph:** II, 1,d.(1) **Support Role:**

If EM is the OPI: Develop and maintain directives within their functional areas that conform to the requirements of the Manual and are responsible for the technical content of directives.

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

Appendix D: Responsibilities Sorted by the Organization with the Lead Implementing Role

Lead Role: OTPI OT

ID: 2.1.10 **Directive:** DOE M 251.1-1A **Paragraph:** III, 2.b **Support Role:**

If EM is the OPI: (1) Determine, based on the survey mentioned above, whether the directive is to be revised.
(2) Revise the directive, if necessary, prior to sunset/expiration.

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

ID: 2.1.11 **Directive:** DOE M 251.1-1A **Paragraph:** II, 1,d.(2) **Support Role:**

If EM is the OPI: Prepare Directive Management Documents (DMDs) (Attachment II-1) for new directives and major revisions. The DMD shall reflect preliminary cost documentation.

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

ID: 2.1.12 **Directive:** DOE M 251.1-1A **Paragraph:** II, 1,d.(3) **Support Role:**

If EM is the OPI: Prepare an initial and final cost impact estimate for each Order, Notice, or Manual with new, modified, or canceled requirements that are likely to increase or decrease implementation costs. (Note: This requirement will not be implemented until approval and issuance of DOE G 251.1-2.)

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

ID: 2.1.13 **Directive:** DOE M 251.1-1A **Paragraph:** II, 1,d.(4) **Support Role:**

If EM is the OPI: The Office Primary Interest for all directives affecting health and safety at defense nuclear facilities, coordinate with the Departmental Representative to the Defense Nuclear Facilities Safety Board (DNFSB). The Departmental Representative, working with the Office of Primary Interest, will ensure that the DNFSB has been provided an opportunity to comment on directives prior to issuance.

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2

ID: 2.1.14 **Directive:** DOE M 251.1-1A **Paragraph:** III, 2.a **Support Role:**

If EM is the OPI: Office of Primary Interest: Prepare DMDs and directives, resolve comments received from reviewers, and provide feedback to them prior to submitting a final draft directive to the Directives System Manager for issuance. Prior to the issuance of a directive, Offices of Primary Interest must concur in the final language (including proposed editorial changes and specific language implementing Directives Management Board decisions) contained in directives under their purview.

Notes: OTPI is the OPI for DOE O 435.1 and DOE M 435.1-1; OT is the OPI for DOE O 460.1A and DOE O 460.2
